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ABSTRACT

These guidelines are designed to assist public agencies in Wisconsin to apply for education funding under the Individuals with Disabilities Education Act (IDEA), the Preschool Grant Program, and Public Law 89-313 (amendments to Title I of the Elementary and Secondary Education Act of 1965). After an introduction which briefly describes each of these three funding programs, specific project application guidelines are offered for the following: (1) IDEA flow-through funds; (2) IDEA discretionary projects; (3) IDEA preschool entitlements for 3-5 year olds; (4) IDEA preschool discretionary projects; (5) Public Law 89-313 local education agency transfer funds; (6) general information/procedures; and (7) directions for completing application form PI-2111. Extensive appendices include the following: a list of acronyms; Division for Handicapped Children and Pupil Services staff listing; eligible handicapped certification codes; financial management handbook excerpt; information on copyrights and record retention; procurement standards; allowable and unallowable costs; indirect cost rates; rules on obligation of funds; uniform property management standards; carry-over and excess cost rules; guidelines for distinguishing between capital/non-capital objects; sample claim form (both completed and blank); blank application form; and end of year report. (DB)

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Project Application Guidelines

Education Funding for Children with Disabilities

IDEA Flow-through Funds
IDEA Discretionary Funds
PL 89-313 Local Educational Agency Transfer Funds
IDEA Preschool Entitlement Funds
IDEA Preschool Discretionary Funds

ED 374 616

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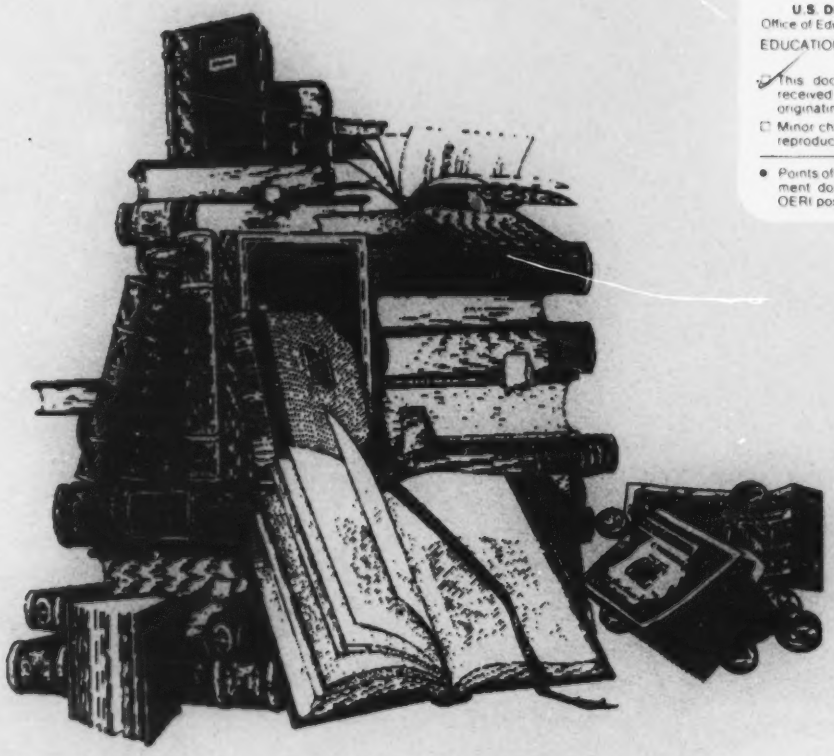

Wisconsin Department of Public Instruction

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Wisconsin Department of Public Instruction
John T. Benson, State Superintendent
Madison, Wisconsin

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TABLE OF CONTENTS

PROJECT APPLICATION GUIDELINES: EDUCATION FUNDING FOR CHILDREN WITH DISABILITIES

IDEA, the Individuals with Disabilities Education Act 1
IDEA Preschool Entitlement and Discretionary Funds 2
PL 89-313 2

IDEA FLOW-THROUGH FUNDS 4
Eligibility 4
Single District Applications 4
Cooperative Applications 4
Compliance/Assurances 5
Program Description 6
Use of Carry-Over Funds 7
Application Submission Procedures/Flow-through Funds 7

IDEA DISCRETIONARY PROJECTS 8
Priority Areas 8
Criteria for Reviewing Discretionary Grants 12
Application Submission Procedures/Discretionary Funds 13

IDEA PRESCHOOL ENTITLEMENTS FOR 3-5 YEAR OLDS 14
Eligibility 14
Recommendations for Preschool Entitlement Funds 14
Procedures Used by the SEA to Approve Subgrants 16
Carry-Over Funds 16
Application Submission Procedures/Preschool Entitlement Funds 16

IDEA PRESCHOOL DISCRETIONARY PROJECTS 17
Priority Areas 17
Criteria for Reviewing Discretionary Grants 18
Application Submission Procedures/Preschool Discretionary Projects 19

PL 89-313 LEA TRANSFER FUNDS 20
Eligibility to be Counted 20
Determining Eligibility and Counting Children 20
Assurances 21
Program Description 21
Application Submission Procedures/PL 89-313 LEA Transfer Funds 23

GENERAL INFORMATION/PROCEDURES 24
Advisory Committee 24
Entitlement Funds-Application Denial Process 24
Audit 25
Budget Monitoring 25
Budget Revision/Capital Object Approval 26

Claiming Funds 26
Contractual Arrangements 27
Debarment and Suspension 27
Evaluation 28
Federal Receipts/State Categorical Aids 29
Project Changes 29
Project Numbers 29
Project Year 29

DIRECTIONS FOR COMPLETING APPLICATION FORM PI-2111 (REV. 1/94) . . . 30
Section I. Project Identification 30
Section II. & III. Assurances for PL 89-313 and IDEA 31
Section IV. Certification and Entitlement 31
Section V. Program Advisory Committee Membership 31
Section VI. Program Description 32
Section VII. Comprehensive System of Personnel Development 32
Section VIII. Private School Participation 32
Section IX. Budget Detail
A. Personnel Summary 33
B. Purchased Services Summary 33
C. Capital Objects 34
Section X. Budget Summary 34

PI-2111A End of Year Report 34

APPENDICES
Acronyms 35
DHCPS Staff Listing 36
Eligible Handicapped Certification Codes 39
Financial Management Handbook Excerpts 40
Copyrights 40
Record Retention 41
Procurement Standards 41
Allowable Costs and Unallowable Costs 41
Indirect Cost Rates 43
Obligation of Funds 44
Uniform Property Management Standards 45
Nonsupplanting 46
Carry-over 50
Excess Cost 50
Distinguishing Between Capital/Non-Capital Objects 51
Sample Claim Form--Completed Version 53
Sample Claim Form--Blank Version 55
Blank Application Form (PI-2111, Rev.1/94) 57
End of Year Report (Evaluation Form PI-2111A) 69

PROJECT APPLICATION GUIDELINES:
EDUCATION FUNDING FOR CHILDREN WITH DISABILITIES

These guidelines are designed to assist public agencies apply for education funding under IDEA, the Preschool Grant Program, and PL 89-313. Included are criteria for project content, procedures for submission and implementation, and timelines. A list of Department of Public Instruction (DPI) contacts is provided as well as sample forms.

IDEA, THE INDIVIDUALS WITH DISABILITIES EDUCATION ACT

IDEA, formerly PL 94-142, an amendment to Title VI, Part B, of the Education of the Handicapped Act, was enacted to:

- ensure that children with exceptional educational needs (EEN), ages 3 through 21, are provided a free, appropriate public education designed to meet their individual needs;

- ensure that the rights of children with EEN and their parents are protected; and

- assist school districts in providing an education for children with EEN.

Children with EEN are those children who have been evaluated by a multidisciplinary team (M-team) and determined to have:

- a handicapping condition of cognitive disability, hearing impairment, autism, traumatic brain injury, speech or language handicap, visual handicap, emotional disturbance, learning disability, or a physical handicap; and

- a need for special education and related services.

A local educational agency (LEA), cooperative educational service agency (CESA), or a county handicapped children's education board (CHCEB); two or more LEAs through a 66.30 agreement; and the state educational agency (DPI) are eligible to receive funds under IDEA. Seventy-five percent of IDEA funds received by the state flow through to the LEAs. Of the remaining 25 percent, 20 percent is available for discretionary projects and 5 percent is for state administration of the program.

Wisconsin laws prohibit the actual granting of IDEA funds to nonpublic schools and agencies. However, EEN children in nonpublic schools and agencies should be provided the opportunity to participate in public school programming within the public school sector. Private school representatives must be consulted in the development and design of IDEA, Preschool, and PL 89-313 applications (EDGAR, 34 CFR 76.651-662).

IDEA PRESCHOOL ENTITLEMENT AND DISCRETIONARY FUNDS

PL 99-457, the Education of the Handicapped Act Amendments of 1986, introduced some changes in how federal dollars are generated and spent for preschool exceptional educational needs (EEN) programs serving children with disabilities ages 3 through 5. The IDEA Preschool Grant Program mandates that states provide special education programs for children with disabilities beginning at age 3. Since Wisconsin already mandates services to children at age 3, we are in a position to use the increase in monies from the preschool grant program to improve the overall quality of services to EEN children who are 3, 4, and 5 years old.

For the 1994-95 school year, local districts will generate a separate preschool entitlement based on their December 1, 1993, count of children with disabilities, ages 3 through 5. In addition, districts may apply for a preschool discretionary project under the priorities listed in the preschool discretionary section.

A local educational agency (LEA), cooperative educational service agency (CESA), or a county handicapped children's education board (CHCEB); two or more LEAs through a 66.30 agreement; and the state educational agency (DPI) are eligible to receive preschool grant funds under this program.

PL 89-313

PL 89-313, Chapter 1, State Operated Programs for Handicapped Children, authorized under Chapter 1 of Title I of the Elementary and Secondary Education Act of 1965, was amended effective on October 9, 1990. This program provides funding to supplement educational programs and services for children with disabilities, birth through 21, in state-operated and state-supported schools and agencies and for children in LEAs who transferred from state-operated and state-supported PL 89-313 schools and agencies.

Programs funded under PL 89-313 must comply with all the regulations issued covering IDEA in addition to separate regulations issued for the PL 89-313 program. Programs must also comply with Chapter 115, Wis. Stats.; the Education Department General Administrative Regulations (EDGAR); and Section 504 of the Rehabilitation Act of 1973.

Projects considered for PL 89-313 funding must be educational and must parallel the educational opportunities available to children with disabilities under Chapter 115 and IDEA. The delivery system providing such education may be different, but the basic educational program intent must be equal for all children with disabilities.

From conception, PL 89-313 funds were designed to supplement educational programs already established with other types of funding. This funding may be state or other federal funds, but in no case can PL 89-313 funds be used to provide total programming for children with disabilities in PL 89-313 schools and agencies. PL 89-313 funds may be used for basic services but may not replace local or state funds already being expended for the program.

State-operated schools include those schools or programs which are directly administered by a state agency. State-supported schools are schools or programs operated under contract or other arrangements with a state agency. In Wisconsin, state-supported programs include day service centers established under Chapters 46 and 51.42/51.437. Local educational agencies are eligible to apply for funds to serve children who leave PL 89-313 programs in state-supported or state-operated agencies to enroll in LEA programs.

IDEA FLOW-THROUGH FUNDS

ELIGIBILITY

A single district or a consortium must ensure that every identified EEN child is appropriately served and must generate an entitlement of $7,500. First, the operating district must have a full continuum of services available. Full service means that every identified EEN child is served appropriately either by the district or in some arrangement outside of the district. Full service also infers that the district is in full compliance with federal and state legislation regarding students with disabilities.

Second, operating districts must have a sufficient number of children enrolled in the program to generate an entitlement of $7,500. Small districts may join together through official action in order to generate the $7,500 entitlement necessary to apply for IDEA funds.

SINGLE DISTRICT APPLICATIONS

Districts may submit single applications with the following considerations:

A. Single district applicants must have a full continuum of services and generate the minimum entitlement.

B. Each district which participates in a CHCEB where the county levy does not cover all program areas may apply for IDEA funds using those children enrolled in the CHCEB program as part of its total count if it generates the $7,500 minimum entitlement and has a full service program.

C. A district, if it is a part of a CHCEB which levies for full service, may apply as a single district if it provides full services and can generate the $7,500 entitlement. Such single district applications may be used for other activities in special education such as inservice which are not covered by the levy and are not actually offered by the CHCEB.

COOPERATIVE APPLICATIONS

A. Districts may organize through an official contractual arrangement with a cooperative educational service agency (CESA); either a single CESA-wide application or several applications covering clusters of districts. Districts organized under a cooperative application (CESA, 66.30, CHCEB) must function as one unit and use IDEA funds for the greatest needs of the LEA members in the cooperative.

B. Districts may operate through an officially established 66.30 agreement. "Gentlemen's agreements" are not appropriate. In any 66.30 cooperative, one of the school districts must assume the role of operator and fiscal agent of the cooperative. This means that one

district in the group shall be the employer of all staff and shall make all of the cooperative expenditures for supplies, materials, equipment, employee travel, etc. The fiscal agency/operator district will prorate all of the expenditures to all participating districts including the fiscal agent/operator district itself.

Any district contemplating participation in a 66.30 cooperative either as a fiscal agent/operator or as a participant should review Wis. Admin. Code, s.PI 14.02 which outlines the minimum uniform contract provisions for 66.30 agreements involving school districts. Information concerning this rule can be obtained from the Division for School Financial Resources and Management Services, Bureau for State School Aids Administration and Consultation.

C. Districts which participate in a county handicapped children's education board (CHCEB) where the county levy does not cover all program areas may apply through a 66.30 agreement provided the combination results in full service. Districts may organize through a CHCEB program with one application if all districts are covered for all service areas under the county levy.

COMPLIANCE/ASSURANCES

By accepting IDEA monies, a district assures compliance with all state and federal statutes, rules, and regulations that apply to EEN programs and services. The following list of some of the pertinent areas of compliance refers to the IDEA regulations unless otherwise specified.

- Child Identification (34 CFR 300.200)
- Confidentiality (34 CFR 300.221; .560-576; Family Educational Rights and Privacy Act, 34 CFR 99.)
- Full Educational Opportunity Goal (34 CFR 300.222)
- Facilities, Personnel, Services (34 CFR 300.223)
- Comprehensive System of Personnel Development (34 CFR 300.224,.139,.380-387)
- Priorities (34 CFR 300.225, .320, .324)
- Parent Participation (34 CFR 300.226)
- Least Restrictive Environment (34 CFR 300.227, .550-553)
- Excess Costs (34 CFR 300.229)
- Non-supplanting (34 CFR 300.230)
- Comparable Services (34 CFR 300.231(b))
- Individualized Education Program (34 CFR 300.235, .340-349)
- Procedural Safeguards (34 CFR 300.237)
- Due Process for Parents and Children (34 CFR 300.500-514)
- Protection in Evaluation/Assessment (34 CFR 300.530-534)
- Participation of Private School Children (EDGAR, 34 CFR 76.651(a), .652(a)-(c))
- Copyrights (EDGAR, 34 CFR 80.34)
- Debarment and Suspension (34 CFR 85.)

In 1991 the department required each school district to submit all of its special education policies and procedural handbooks as part of this application. Information about how and when to submit your policies and procedures will be forthcoming.

School districts must consult with parents and private school representatives in the design and implementation of the project application. This may be accomplished through the inclusion of parents and private school representatives on the project advisory committee. A parent is often identified as the chairperson of this committee. Private school students must be provided a genuine opportunity to equitably participate in the project activities. The agency must provide information regarding the participation of private schools on page 8 of the application. The Wisconsin Public/Private School Directory, available from the department's publication office, lists all the private schools in the state.

PROGRAM DESCRIPTION

The application utilizes the WESSAS function codes to define the areas within a project application. The program description includes the financial breakdown of expenditures, in addition to the needs, goals, objectives and intended results of the project.

Instructional positions may be funded with IDEA monies if the position is eligible for state handicapped categorical aids and if the person holds licensure in the 800 series. Regular education instructional staff cannot be funded with IDEA funds unless they also hold special education licensure and are included on a plan of service. See the appendix for a listing of eligible certifications.

Pursuant to s.PI 11, Wisconsin Administrative Code, all program aides must be approved and exceptions to the minimum and maximum enrollment criteria must be negotiated with the appropriate program supervisor within the DHCPS. Operation of the project must be consistent with an approved plan of service and all instructional positions must be appropriately certified. All instructional staff unable to be identified at the time the application is submitted must be documented as an amendment to the plan of service and to the application. Placements in a private facility or out of state must receive prior approval by the state superintendent. Failure to adhere to the program approval requirements may result in a potential repayment of these federal funds.

Federal monies cannot be used to pay attorney's fees for either the agency or the parent in a local level appeal.

Projects should be developed in conjunction with the appropriate DPI program consultants. Flow-through applications are funding applications. Any member of the Program Review and Compliance Section may be contacted for technical assistance regarding application completion. See the appendix for a listing of DHCPS staff and telephone numbers.

USE OF CARRY-OVER FUNDS

The carry-over provision provides flexibility in program administration. A maximum of 25 percent of the previous year's entitlement may be carried over.

When completing applications for the current year, program planning should be based upon the flow-through entitlement for the current year and the best estimate of the previous year's carry-over. After submission of the final claim for the previous year, the department will verify by letter the exact carry-over figure. Flow-through is a district entitlement; therefore, carry-over remains with the district if services are no longer provided by the consortium.

APPLICATION SUBMISSION PROCEDURES/FLOW-THROUGH FUNDS

No encumbrances or expenditures may be made until July 1, 1994, or until the project application is received by the department, whichever is later. All federal funding is contingent upon the federal Office for Special Education Programs'(OSEP) approval of Wisconsin's State Plan Amendments.

For example, if a full-time staff member is paid with IDEA funds, the application must be received by July 1 in order to cover the salary as of July 1. If the application is not received until October 1, the salary would not be covered until October 1. Other funds would have to be used for the time period July 1 to October 1.

Three copies of the application form, PI-2111 (Rev. 1/94), should be submitted to the Bureau for Exceptional Children, P. O. Box 7841, Madison, Wisconsin 53707-7841. Use 125 S. Webster Street 53702 if using package delivery services. The district administrator and project director will be notified by letter regarding the approval of the application. An approved copy of the application will be returned to the project director with the notification.

IDEA DISCRETIONARY PROJECTS

PRIORITY AREAS

Funding for discretionary projects is awarded at the discretion of the state superintendent of public instruction. These funds are used to support development and demonstration projects that have relevance statewide, regionally, or to large urban areas.

Discretionary projects must address at least one of the state superintendent's priorities listed below. In addition, agency staff receiving funding for discretionary projects will be required to attend any meeting convened by the department during the school year to share information with others who have been awarded funding for projects in the same priority area.

If an agency wishes funding for a project for more than one year, it must submit an evaluation of the project and any products created as a result of the project before the second year of funding will be approved. The evaluation and products must be submitted with the application for the second year of funding. If they are not included, the application will not be considered for funding.

Education agencies may compete for funding in one of the following priority areas for the 1994-95 school year:

A. **Improve Recruitment, Preservice Training and Retention of School Personnel**

The recent study, Wisconsin Teacher Supply and Demand (1991), shows personnel shortages in special education, too many emergency licenses in special education fields (particularly ED and LD), teacher shortages in urban and rural areas, and a need for more diversity in those entering teaching.

Public input into the state plan highlighted a need for teacher training institutions to better train new teachers, both in special and regular education, so they understand the realities of today's student needs and are able to integrate special education and regular education. Public input noted the need to provide inservice and leadership training for existing school personnel: teachers, administrators, special education directors, support staff, and special education program aides.

The department has assisted agencies in supporting teachers employed on emergency licenses (ELTs) through Project SELECT. Project SELECT achieved the following goals during the past year: a) instructional modules that paralleled PI 4 certification requirements for common and specific special education requirements have been developed and distributed to teacher training institutions in order to provide a uniform curriculum and insure transferability; b) numerous modular-based courses were delivered during the summer, fall and spring semesters in the form of weekend instruction and interactive television.

Project SELECT's objectives for the next year include: a) providing individual assessment

for ELTs through a portfolio review process recognizing their past experience and course work; b) offering a uniform curriculum for the purpose of licensing requirements for ELTs. This uniform curriculum would use the competency-based Project SELECT modules of instruction that parallel PI 4 common and specific rules; c) provide this modular instruction through flexible delivery such as weekend instruction or interactive television; d) provide the ELTs with program support and mentorship during the time they hold a special license.

Due to the statewide nature of this effort, all monies awarded under this priority will be routed through Project SELECT.

B. **Align Special Education Initiatives With Education Reform Agenda**

In Wisconsin much is happening under the heading of "education reform." One of the key education restructuring issues being discussed is teacher empowerment/site-based management. Site-based management/teacher empowerment is usually placed in the context of a school or a district being provided more flexibility in how to design and deliver services.

These "regular" education reforms are coming at the same time special educators are implementing more integration of special and regular education. Much of the education reform debate at the national and state level has not specifically addressed the needs of individuals with disabilities. This initiative will involve parents and special educators in integrating special education into education reforms.

More specifically, the department will fund projects which create a defined role for special educators and parents in the following "education reform" areas: training for site-based management teams, team-building activities for regular and special educators, integrating students in cooperative programs in regular education settings, designing strategic plans for school restructuring, implementing outcome-based education models, and providing training and follow-up for total quality management designs.

C. **Promote and Enhance Transition Activities**

Developing and delivering comprehensive transition services for students with disabilities is one of the most complex requirements of IDEA and its newly promulgated rules. Wisconsin, however, is in an advantageous position of having many of our own school-to-work transition initiatives which expand secondary and post-secondary educational opportunities for all students.

Projects submitted under this priority must propose to improve transition services for students with disabilities by melding the transition service requirements of IDEA with our school-to-work program innovations for all students. Projects will be given priority which propose: the development of local policies and procedures to include students with disabilities in all the school-to-work programs emerging locally; the development of community based instruction/curriculum; the development of work experience programs consistent with all work/study program requirements; multi-agency participation in IEPs

which develop transition service commitments; administrative level multi-agency committees responsible for transition agreements, services and policy development; the development of local multi-agency student outcome follow-up systems; multi-disciplinary and multi-agency staff training on transition service process and needs, functional vocational assessment, team building, employment issues, independent living issues and post-secondary education issues; parent and student self-advocacy training; needed related services including the utilization of rehabilitation counseling; utilization of assistive technology devices and services; development of relevant, market based vocational curriculum in collaboration with vocational education and local Private Industry Councils.

The projects will be evaluated on their attention to:

1. including all disability programs in a transition service system;

2. improving the school outcomes for students with disabilities in the areas of -

   a. productive employment,
   b. community participation, and
   c. post-secondary education and training;

3. and addressing the involvement of the entire community in the transition process by including the following members on the project's advisory committee - vocational educators, guidance counselors, special educators, service agency staff, employers, families, adults, and students with disabilities, vocational school transition staff, college admissions staff, volunteer/advocacy organization staff, Private Industry Council staff.

D. **Improve the Learning Outcomes for Children With Disabilities**

In the past several years, a new emphasis on early intervention programs, the Regular Education Initiative debate, the new requirements of IDEA, and the reexamination of the effectiveness of the special education model and its integration with regular education has occurred. During the same time, regular education underwent the education reform movement triggered by A Nation At Risk and is now undergoing a school restructuring/transformation debate. The focus of this debate seems to center on shifting from ensuring proper procedure process and programmatic inputs to measuring accountability by documenting improved student outcomes/learning. As this shift occurs there has been emphasis placed on improving outcomes/learning for all students. Through inclusion activities of all children and through the increased use of technology, including assistive technology, overall student outcomes/learning will improve.

The department will support innovative approaches which target funding and staff resources to focus on encouraging educators to evaluate programs and processes in terms of whether student outcomes/learning improved. Projects which focus on improving the learning of children could involve evaluation of different instructional approaches, longitudinal studies of student progress, and the use of portfolios and authentic assessment.

The department will encourage the development of efforts and innovative approaches to integrating children with disabilities and peers without disabilities in the school, community, and home. Examples of ways in which this goal might be accomplished include relocating instructional programs, providing consultation/training programs to students and school staff, through a variety of resources. In addition, the department will encourage and support the development of new uses of technology including assistive technology that are particularly innovative and hold unusual promise for improving integration and/or special education programming.

Therefore to strengthen this priority area the Department will develop two statewide initiatives on inclusion and assistive technology ensuring a systems change towards improving the learning outcomes for children with disabilities. The majority of the funds in this priority will be directed toward the statewide initiatives, limiting funds in this priority available to school districts.

E. **Empowering Parents and Involving Families**

Study after study has shown parental involvement, both at school and at home, to be a key to any successful school program. IDEA has, as a principle, empowered parents as partners with school professionals in the decision-making process concerning their children's special education. Recognizing the importance of family involvement to school success, the department has since 1987 promoted a statewide program, Families in Education, in all school districts. While educating and training parents is important because they are part of their children's special education decision-making process, there is also a need to help families learn how to live with a member who has disabilities. In short, families need access to education, training and support not only to be effective advocates and helpers for their children but also to be strong and healthy families.

The department will fund innovative projects under this priority which emphasize training parents to be advocates for their children and better informed partners with school personnel in the special education decision making process.

F. **CSPD for Staff Development and Leadership Training**

The department is responsible for creating, maintaining and evaluating a comprehensive system of personnel development (CSPD) to ensure that all personnel necessary to carry out the purpose of IDEA and Subchapter V, Chapter 115, are qualified. The target audiences include not only special education instructional personnel but also all school personnel, other professionals and parents who identify and educate individuals with disabilities. Over the past several years the DPI has developed a CSPD framework for staff development and leadership training at the state, regional and local levels which allows the department to provide training, respond to issues and facilitate change.

During 1992-95 the department will maintain the existing CSPD framework so it can provide information, furnish needed training, supply leadership enhancement and facilitate change as it helps special and regular education teachers, support personnel, parents and other professionals.

In addition, the department will focus on improving inservice/information system capabilities and offering direct leadership and other support for training programs that respond to specific topical issues. Topical issues that will receive consideration for funding include: school to community transition programming, strategies for implementing local CSPD programs, providing educational programs to children with special health conditions, high cost/difficult to serve children, parent-educator partnerships, integrating children with disabilities and peers without disabilities, autism, traumatic brain injury, attention deficit disorder, and school district collaborative projects. In addition, consideration will be given to the development of public awareness programs and to providing information and inservice to general educators and students without disabilities.

CRITERIA FOR REVIEWING DISCRETIONARY GRANTS

The following guidelines have been developed to assist applicants in writing a project proposal and will be used by department staff in the review process. You are encouraged to use this criteria to critique your project proposal before submission.

1. How well does the project respond to one or more of the priority areas?

2. Does the project reflect an innovative approach to meeting the educational needs of students with exceptional educational needs?

3. Can the project be replicated elsewhere in the state and does it have statewide impact?

4. Is the project design clearly articulated including strategies, goals, and objectives?

5. Is relevant research or literature cited to support the project design?

6. Does the project reflect a local commitment of resources and is the proposed budget adequate to support the project, yet reasonable in relationship to the overall goals? NOTE: All instructional salaries must include some local commitment.

7. Does the project application include an evaluation plan?

8. Have all parts of the application been completed?

Before final funding recommendations are made, consideration will be given to geographic distribution of funds, distribution across all priority areas, and how much previous funding a district/agency has received.

The following items generally are not funded by discretionary monies:

--Routine school furnishings such as desks, chairs, files, etc.
--School buses, vans, or other vehicles
--Remodeling
--Construction

--Computers, unless it is a technology project of which computers are an essential item
--Playground equipment
--Reimbursement of wages as part of a work-study program
--Routine transportation costs

Bookkeeping, audit, and secretarial costs are permissible only in an amount appropriate to the size of the grant.

All instructional positions must show a local commitment with the local share increasing in second- and third-year projects.

Instructional positions may be funded with IDEA monies if the position is eligible for state handicapped categorical aids and if the person holds licensure in the 800 series. Regular education instructional staff cannot be funded with IDEA funds unless they also hold special education licensure and are included on a plan of service. See the appendix for a listing of eligible certifications.

Pursuant to s.PI 11, Wisconsin Administrative Code, all program aides must be approved and exceptions to the minimum and maximum enrollment criteria must be negotiated with the appropriate program supervisor within the DHCPS. Operation of the project must be consistent with an approved plan of service and all instructional positions must be appropriately certified. All instructional staff unable to be identified at the time the application is submitted must be documented as an amendment to the plan of service and to the application. Placements in a private facility or out of state must receive prior approval by the state superintendent. Failure to adhere to the program approval requirements may result in a potential repayment of these federal funds.

Administrative staff should not receive stipends or overtime pay. Funding of positions cannot result in supplanting.

The carry-over provision does not apply to IDEA discretionary projects. Discretionary projects are assured of funding for only one year.

APPLICATION SUBMISSION PROCEDURES/DISCRETIONARY FUNDS

The deadline for submitting discretionary projects is May 1, 1994. All federal funding is contingent upon OSEP approval of Wisconsin's State Plan Amendments. Projects should be developed in conjunction with appropriate DPI program consultants. Any member of the Program Review and Compliance Section may be contacted regarding application completion. See the appendix for a listing of DHCPS staff and telephone numbers.

Three copies of the project application, PI-2111 (Rev. 1/94), should be submitted to the Bureau for Exceptional Children, P. O. Box 7841, Madison, Wisconsin 53707-7841. Use 125 S. Webster Street 53702 for package delivery services. The district administrator and project director will be notified by July 1, regarding the status of project funding. An approved copy of the application and grant award will be released upon completion of any necessary revisions.

IDEA PRESCHOOL ENTITLEMENTS FOR 3-5 YEAR OLDS

ELIGIBILITY

A single district or consortium applying for preschool entitlement funds must meet the same eligibility requirements as are required for IDEA flow-through funds with the exception of the $7,500 minimum entitlement requirement. Districts which submit their early childhood plans of service through CESAs, CHCEBs, or 66.30s are encouraged to apply for their preschool entitlement grants as a consortium also.

RECOMMENDATIONS FOR PRESCHOOL ENTITLEMENT FUNDS

The entitlement application must indicate how the money will be spent to enhance services for children with disabilities ages 3 through 5. Due to a recent change in IDEA these preschool funds may be used to provide a free appropriate public education (FAPE) to two-year-old children with disabilities who will reach age three during the school year. LEAs are encouraged to review the components of their comprehensive delivery system for pre-schoolers with EENs to determine which area(s) may require improvement.

1. Improvement of Public Awareness, Informed Referral Network, and M-team Evaluations, including but not limited to:
   - o Extended (summer) contracts for staff to conduct formal screenings, M-team evaluations, and training community preschool contacts.
   - o Public awareness campaigns in media, TV or radio.
   - o Screening efforts that incorporate parent input on development, hearing and vision testing, and information on community resources.
   - o Formal screening efforts for targeted populations jointly implemented with other community agencies such as; Head Start, Birth-3 programs, Supplemental Food Program for Women and Children (WIC), tribal health centers, etc.
   - o Efforts to develop collaborative referral systems.
   - o Incorporating questions targeting children Birth-5 into the school census such as, "Do you have any concerns regarding your child's speech, hearing, vision, walking, learning or behavior?" Pamphlets on child development or growth charts can also be disseminated at this time. Any child find components must include the questions asked by the school census takers which target the identification of preschoolers with potential EENs, and a description of how school personnel follow up on the results. Preschool entitlements may only be used to cover a reasonable portion (not to exceed 25 percent) of the school census costs.

2. Program Support and Direct Service Staff; i.e., initial funding or continuation funding of early childhood program support teachers (PSTs) or other preschool special education staff. Note: Personnel funded last year in a preschool discretionary grant can be funded with entitlement dollars.

   Special education staff and related services personnel may be funded with entitlement

monies if the person holds appropriate licensure.

Pursuant to s.PI 11, Wisconsin Administrative Code, all program aides must be approved and exceptions to the minimum and maximum enrollment criteria must be negotiated with the appropriate program supervisor within the DHCPS. Operation of the project must be consistent with an approved plan of service and all instructional positions must be appropriately licensed. All instructional staff unable to be identified at the time the application is submitted must be documented as an amendment to the plan of service and to the application. Failure to adhere to the program approval requirements may result in a potential repayment of these federal funds.

3. Materials and Equipment. The division recognizes the need for continual updating of instructional materials in the early childhood program and specialized adaptive equipment (emerging technology). Any request for computer hardware must specify how it is to be used in relation to the preschoolers with disabilities.

4. Expanded family involvement, including but not limited to:

   - o Parent advisory groups.
   - o Helping parents access other community resources.
   - o Toy lending libraries.
   - o Family activities which provide opportunities for parents and siblings to interact and exchange information.
   - o Parent education, including child development information such as videotapes, pamphlets, books, etc.

5. Expanded opportunities for interaction between preschoolers with disabilities and those without disabilities. Activities may include joint planning time for general educators, special educators, head start and day care providers to plan for joint activities.

6. Expanded collaboration among agencies to ease the transition for eligible students who are leaving a birth through two program and beginning to receive special education programming from the public schools. Activities may include:

   - o Interagency collaboration meetings or workshops.
   - o Parent education and participation.
   - o Teacher visits and observations.
   - o Child visits and observations.
   - o Transitioning EEN two-year olds. It may be appropriate to begin serving some EEN two-year-olds who will turn age 3 during the school year through home programming and/or center programming, if appropriate per their IEPs.

7. Remodeling and playground renovation as it affects 3-5 year olds with disabilities.

8. Extended school year programming.

9. Inservice training/teacher travel.

10. Districts may make the case of using entitlement funding to cover expenses for a given year, such as:

    - o Transportation (including bus aides).
    - o Related services.
    - o Tuition costs.
    - o Outside evaluations.

11. Miscellaneous:

    - o Indirect costs.
    - o Clerical time related to the preschool special education program.
    - o Appropriate percentage of preschool special education administrative costs.
    - o Inflationary costs such as increases in salaries of preschool special education staff.

PROCEDURES USED BY THE SEA TO APPROVE SUBGRANTS

Each preschool entitlement application is reviewed by a DHCPS consultant to determine if the funds are being utilized to provide special education and related services to preschool children with exceptional educational needs.

CARRY-OVER FUNDS

The carry-over provision provides flexibility in program administration. A maximum of 25 percent of the previous year's entitlement may be carried over. The same procedures used for Part B flow-through funds will be followed for the preschool entitlement program.

APPLICATION SUBMISSION PROCEDURES/PRESCHOOL ENTITLEMENT FUNDS

Federal funding is contingent upon OSEP approval of Wisconsin's State Plan Amendments.

No encumbrances or expenditures may be made until July 1, 1994, or until the project application is received by the department, whichever is later.

Three copies of the project application, PI-2111 (Rev.1/94), must be submitted to the Bureau for Exceptional Children, P.O. Box 7841, Madison, Wisconsin 53707-7841. Use 125 South Webster Street 53702 for package delivery services. The district administrator and project director will be notified by letter regarding the approval of the application. An approved copy of the application will be returned to the project director with the notification.

IDEA PRESCHOOL DISCRETIONARY PROJECTS

PRIORITY AREAS

Funding for preschool discretionary projects is awarded at the discretion of the state superintendent of public instruction to LEAs, CESAs, and CHCEBs. The intent of the preschool discretionary program is to fund joint training efforts, to encourage the development of integrated settings, to fund program support teachers (PSTs), and to fund special innovative projects which will have statewide impact.

Agencies which apply for funds under priority A or B listed below will be given first priority if they submit documentation that all early childhood programs, including EC:EEN, Chapter I, and 4- and 5-year-old kindergarten programs in their district adhere to or are working toward implementing developmentally appropriate practices for 3-, 4- and 5-year-olds. This can be accomplished through submission of mission statements, guiding principles, curricular outlines, or other appropriate documentation.

A. Joint training of special education staff and general early childhood personnel in the school and community promotes collaborative efforts and appropriate practices in EC:EEN classes, Head Start, family child care, center-based day care, 4- and 5-year-old kindergarten, and Chapter I preschool. Topics of training may include adaptive play strategies for preschoolers with disabilities, implementing developmentally appropriate practices to accommodate a diverse population, facility design and room arrangement, the inclusion of parent(s), senior citizens, elementary and secondary students in early childhood programs as volunteers, and effective home programming. These projects are usually considered for one year of funding only.

B. The planning, development or implementation of preschool programming which would facilitate meaningful interactions between children with disabilities and those without disabilities. Possible grant activities may include, but are not limited to:

   - Intra/interagency planning activities to better coordinate and align the delivery of general education, Chapter I preschool, child care services, and other community programs such as Head Start with EC:EEN programming.

   - Funding a task force or local committee to identify the possible range of placement options for preschoolers with disabilities and developing local agreements with agencies such as Head Start to facilitate such placements.

   - First year projects applying for funds to serve preschoolers with disabilities, ages 3 through 5. LEAs may apply for funds to coordinate services for preschoolers in an integrated setting. These projects must describe the range of placement options available for preschoolers with disabilities in their school and community and how the project will expand those options. Priority will be given to communities who have documented their local planning efforts and have collaborated with other programs or agencies to provide service options.

- o Remodeling or rental of facilities which would house an integrated setting appropriate for young children with disabilities (a local match would be required for this activity).

C. Projects applying for funds to provide support to EC:EEN programs. LEAs may apply for funds to hire a new EC:EEN program support teacher when the need is justified. Program support teachers are vital support links in early childhood special education programs and their employment is encouraged in regions and districts where clusters of ten or more EC:EEN units exist.

D. Projects applying for funds to demonstrate effectiveness of innovative techniques and procedures in the areas of:

- o Child find activities which focus on community efforts and improve public relations with all parents by strengthening the informed referral network.
- o Parent involvement (e.g., facilitating parents' input in the IEP process, "family-friendly" programming strategies in homes and daycares).
- o Transition (e.g., practices and methods which result in a "seamless system" for young children).
- o Coordinated programming for preschoolers with severe disabilities or those who are medically fragile.

Programs under this priority are expected to develop strategies which will be relevant statewide or regionally. The application must also include a description of the final product and indicate how the project's accomplishments will be disseminated.

E. Continuation projects applying for funds to maintain EEN programming for preschoolers with disabilities. LEAs which received preschool discretionary grants for school year 1993-94 may apply for funds to continue EEN programming for preschoolers with disabilities. Please note that once a preschool EEN program is started under preschool discretionary funds, it may be continued under a combination of preschool entitlement, 3-21 flow-through, and/or categorical aids/local funds where applicable.

CRITERIA FOR REVIEWING DISCRETIONARY GRANTS

The following criteria have been developed to assist applicants in writing a project proposal and will be used by department staff in the review process. You are encouraged to use these criteria to critique your project proposal before submission.

1. How well does the project respond to one or more of the priority areas that are identified?

2. Does the project reflect an innovative approach to meeting the educational needs of students with exceptional educational needs?

3. Can the project be replicated elsewhere in the state and does it have statewide impact?

4. Is the project design clearly articulated including strategies, goals, and objectives?

5. Is relevant research or literature cited to support the project design?

6. Does the project reflect a local commitment of resources and is the proposed budget adequate to support the project, yet reasonable in relationship to the overall goals? NOTE: All instructional salaries must include some local commitment.

7. Does the project application include an evaluation plan?

8. Have all parts of the application been completed?

The following items generally are NOT funded by discretionary monies:

- Computers, unless it is a technology project of which computers are an essential item.
- School buses, vans or other vehicles.
- Playground equipment.
- Routine transportation.

Before final funding recommendations are made, consideration will be given to geographic distribution of funds, distribution across all priority areas, and how much previous funding a district/agency has received.

APPLICATION SUBMISSION PROCEDURES/PRESCHOOL DISCRETIONARY PROJECTS

All federal funding is contingent upon OSEP approval of Wisconsin's State Plan Amendments. Questions related to preschool grant applications may be directed to Jenny Lange at (608) 267-9172.

The deadline for submitting preschool discretionary projects is May 1, 1994.

Three copies of the project application, PI-2111 (Rev. 1/94), should be submitted to the Bureau for Exceptional Children, P. O. Box 7841, Madison, Wisconsin 53707-7841. Use 125 S. Webster Street 53702 for package delivery services. The district administrator and project director will be notified by letter regarding the approval of the application. An approved copy of the application will be returned to the project director with the notification.

PL 89-313 LEA TRANSFER FUNDS

Under PL 89-313, funds may be provided to LEAs for children who previously were enrolled in a state-operated or state-supported program for children with disabilities receiving funding under PL 89-313 and who meet the eligibility criteria listed below. In order to obtain these entitlement funds, the LEA must count the eligible children in the year prior to receipt of funds and then submit an application form, PI-2111 (Rev. 1/94).

ELIGIBILITY TO BE COUNTED

Eligible participants are those children who:

A. have transferred from a PL 89-313 agency since July 1972;

B. were enrolled in and counted by a PL 89-313 agency (institution or day service center) and attended the agency program for at least one school year (180 school days) prior to transferring to the LEA; and

C. are receiving special education services in accordance with a current placement offer, individualized education program, and multidisciplinary team evaluation.

DETERMINING ELIGIBILITY AND COUNTING CHILDREN

The Department of Public Instruction maintains a computer data base containing data on children who previously were enrolled in state-operated or state-supported programs funded under PL 89-313. The eligibility status of PL 89-313 LEA transfer students is contained in the computer data base. Districts are notified of eligible children using form PI-2119.

To count eligible children on December 1, (for funding in the next fiscal year), a school district must submit form PI-2119 along with an individual student data report form (scan sheet: PI-2197-B) for each eligible student and a child count summary form (PI-2197-A). Names of students not appearing on the computerized PI-2119 may be added by the school district, and the department will check the eligibility of each student against the computer data base. School districts are notified of any changes to the child count submitted.

Students who are not eligible under PL 89-313 may be eligible under IDEA. PL 89-313 regulations prohibit counting a child under both programs in the same fiscal year. Therefore, children ages 6-21 counted under PL 89-313 are not eligible for funding under IDEA. In addition, preschool children (ages 3-5) counted under 89-313 are not eligible for funding under IDEA or the IDEA Preschool Grant Program for children ages 3-5.

ASSURANCES

Pursuant to 34 CFR 302.11 and 302.31, the application form includes assurances that:

A. the agency will meet the education standards of the state educational agency in accordance with 34 CFR 302.11;

B. All children with disabilities age three through twenty-one who are participants in the project receive a free, appropriate public education;

C. All children with disabilities and their parents who are participants in the project are provided all the rights and procedural safeguards under Part B of IDEA;

D. All services, programs, and projects conducted under this project are of sufficient size, scope, and quality to give reasonable promise toward meeting the special education and early intervention needs of the children to be served;

E. Funds granted under this project will be used to supplement, not supplant, state and local funds in accordance with 34 CFR 302.54;

F. The agency will maintain its fiscal effort in accordance with 34 CFR 302.52;

G. The agency will conduct such evaluations and assessments necessary to demonstrate that the program/project is beneficial to the children served;

H. The parents of children to be served by this project are provided an opportunity to participate in the development of the project application; and

I. The agency will comply with all child count and other reporting requirements in a timely manner in accordance with 34 CFR 302.22 and 34 CFR 302.31.

PROGRAM DESCRIPTION

The program description must provide a comprehensive overview of the proposed project. Pursuant to 34 CFR 302.31(b), the application must include:

A. the projected number of infants, toddlers, or children with disabilities to be served as described in 34 CFR 300.5, 300.751, and 302.22; This should be comparable to the child count which generated the funding.

B. the purpose of the project and the method(s) of evaluating the effectiveness of services provided under this part;

C. the education and related services to be provided; and

D. the opportunities that parents have received to participate in the development of the project application.

The narrative section of the application must also include information about needs, goals, objectives, results, and the specific items to be funded by the grant. Funds received through a PL 89-313 transfer project must be used to directly benefit (be child specific) the eligible children who generate the funding for the project; however, other eligible PL 89-313 children enrolled may benefit. A district may retain funds generated by eligible children who are no longer in the district's programs as long as there are other eligible children in the district who will benefit from the funds.

Some of the items eligible for funding include: the salary of a teacher or teacher aide, equipment, instructional materials, and technological aids. Funds can be used for training teachers, aides, other personnel, and parents of disabled infants, toddlers, and children. Funds may also be used for training non-disabled children to facilitate participation in joint activities and for employers/personnel involved in assisting the school with work/living transitions. Funds may be used for outreach activities to involve infants, toddlers, children, and their families more fully in a wide range of educational and recreational activities in their communities. Planning for, evaluating, and disseminating information about the program and projects funded under this part may also be funded.

Funds under this part may <u>not</u> be used for the payment of tuition and fees unless the tuition and fees are associated with activities and services other than special education and related services that are specified in the child's IEP under Part B.

Instructional positions may be funded with PL 89-313 monies if the position is eligible for state handicapped categorical aids and if the person holds licensure in the 800 series. Regular education <u>instructional</u> staff cannot be funded with PL 89-313 funds unless they also hold special education licensure and are included on a plan of service. See the appendix for a listing of eligible certifications.

Pursuant to s.PI 11, Wisconsin Administrative Code, all program aides must be approved and exceptions to the minimum and maximum enrollment criteria must be negotiated with the appropriate program supervisor within the DHCPS. Operation of the project must be consistent with an approved plan of service and all instructional positions must be appropriately certified. All instructional staff unable to be identified at the time the application is submitted must be documented as an amendment to the plan of service and to the application. Placements in a private facility or out of state must receive prior approval by the state superintendent. Failure to adhere to the program approval requirements may result in a potential repayment of these federal funds.

APPLICATION SUBMISSION PROCEDURES/PL 89-313 LEA TRANSFER FUNDS

No encumbrances or expenditures can be made until July 1, 1994, or until the project application is received by the department, whichever is later.

Projects should be developed in conjunction with the appropriate DPI program consultants. PL 89-313 LEA transfer applications are funding applications. Program approval requirements apply to all instructional positions included in the application. Any member of the Program Review and Compliance Section may be contacted regarding application completion. See the appendix for a listing of DHCPS staff and telephone numbers.

Three copies of the project application, PI-2111 (Rev. 1/94), should be submitted to the Bureau for Exceptional Children, P. O. Box 7841, Madison, Wisconsin 53707-7841. Use 125 S. Webster Street 53702 for package delivery services. The district administrator and project director will be notified by letter regarding the approval of the project. An approved copy of the application will be returned to the project director.

GENERAL INFORMATION/PROCEDURES

Information provided in this section applies to all programs under IDEA, the IDEA Preschool Grant Program, and PL 89-313 except as noted.

ADVISORY COMMITTEE

The local advisory committee can assist the project director in determining the directions the project should take to provide services to EEN children. Representatives on the advisory committee should include persons having decision-making authority for the expenditure of funds. For IDEA flow-through and Preschool consortium projects, it would be advisable for the committee to include a representative from as many of the cooperating districts as possible, as well as parents and other professionals. Inclusion of parent representation on the advisory committee can be used to meet the requirement of obtaining parent participation in the development of project applications. A parent is often identified as the chairperson of this committee. Operating agencies may use the same advisory committee for all EEN program operations.

Private school representatives must be consulted in the development and design of project applications (EDGAR, 34 C.F.R. 76.651-662), and the advisory committee is a very appropriate method of meeting this requirement. Documentation that private school representatives have been consulted must be maintained at the district level and indicated on page 8 of IDEA and preschool entitlement applications.

ENTITLEMENT FUNDS - APPLICATION DENIAL PROCESS

If an application for federal entitlement funds under IDEA, IDEA preschool, or PL 89-313 does not appear to meet the federal requirements for funding, the following steps will apply:

1. The project applicant will be provided an opportunity to negotiate a resolution to the problems under contention. If problems cannot be resolved, the project applicant will be notified of the denial of funds and the opportunity to appeal the decision through a hearing.

2. To request a hearing, the project applicant must file a written request within 45 days of the notification denying approval. This written request must include authorization from the local board of education.

3. When the request for a hearing is received, the department will arrange a mutually acceptable time and place for the hearing. The hearing shall be held within 45 days of the filing of the request.

4. The Department of Public Instruction will designate an individual to function in the role of hearing examiner and be responsible for a verbatim record of the hearing.

5. The project applicant and the department will be provided the opportunity to present evidence, cross examine, and be represented by counsel.

6. The hearing examiner will provide a written statement of the findings and present recommendations to the state superintendent for a decision.

7. As a result of the hearing, the state superintendent shall either:

   a. determine that the applicant's plan does not meet the requirements and that funds shall be withheld; or

   b. determine that the applicant's plan does meet the requirements and that funds shall be granted.

AUDIT

Federal program audits are done in conjunction with the LEA annual audit. The audit procedure is established by the DPI's Division for School Financial Resources and Management Services. All LEAs, CESAs, and CHCEBs which receive IDEA, IDEA preschool, or PL 89-313 LEA Transfer funds must follow the audit procedures described in the Wisconsin Public School District Audit Manual.

BUDGET MONITORING

Budgets for entitlement projects are monitored differently than for discretionary projects. Entitlement projects are generated by formula. Greater local discretion in the use of funds can be granted to formula-based grants provided all the assurances are met and an approved application is secured.

IDEA flow-through and IDEA Preschool entitlement funds will be monitored by function. When a function is approved by the DHCPS, flexibility will be granted within the function provided the function's mission is not substantially altered. An amount of ten percent (10%) of the function total or $1,000 whichever is greater, will be used as a guide to determine if substantial altering has occurred. However, the following changes will require specific approval:

1. Funding of positions not listed in the personnel summary of the application.

2. Personnel changes of certified staff positions (appropriate certification is required of special education instructional staff).

3. Requests for equipment items.

If a function budget is exceeded, there must be a decrease in anticipated expenditures elsewhere. Reimbursement for the project will not exceed the total approved budget.

Discretionary projects are funded on a competitive basis. Priorities are established for the use of funds. These projects will be monitored closely for compliance with the approved intent of the project.

IDEA and IDEA preschool discretionary projects and PL 89-313 LEA transfer projects are monitored on an object and function basis. A ten percent (10%) allowance of each major object within the function will be used as a guide to determine if funds are used in accordance with project objectives. As with entitlement projects, specific approval will be required for the changes identified as 1, 2, and 3 above. Approval of budget revisions will be allowed if they enhance services to be provided and are consistent with the original intent.

BUDGET REVISION/CAPITAL OBJECT APPROVAL

Guidelines for when budget revisions are allowed and/or necessary are found under the section on Budget Monitoring. Budget revisions and capital object approval requests for IDEA and PL 89-313 projects should be submitted to Sandra Berndt and for IDEA preschool projects to Brent Odell.

Budget Revisions

Budget revisions are allowable with the approval of the DHCPS program administrator. To make budget revisions, project directors should submit revised pages for the personnel summary (page 9 of the application), purchased services summary (page 10 of the application), capital objects summary (page 11 of the application), and budget summary (page 12 of the application). A revised narrative must be submitted if goals and objectives of the project have changed. Each revised page should include the new date in the appropriate space. Final revisions should be submitted by May 1.

Capital Object Approval

All capital objects must be specifically identified on page 11 of the application according to the function being charged. If the specific item is unknown at the time the application is submitted, the total amount is listed as "to be identified." When a capital object is later identified, a revised page 11 should be submitted to DHCPS for approval. Do not submit the outdated form PI 2175, the budget revision/capital object approval form. This form is no longer in use.

CLAIMING FUNDS

Report financial information on the Program Fiscal Report, PI-1086. Submit the original copy to the Federal Aids and Audit Section, P. O. Box 7841, Madison, Wisconsin, 53707.

Report fund, object, and function numbers used to identify federal project expenditures. Functions must be detailed by the major objects as shown on the budget page of the approved application. Refer to the appendix section for a sample claim. A final report should be filed within 90 days after the June 30 ending date of the project.

CONTRACTUAL ARRANGEMENTS

If federal funds are provided in your budget for contractual services such as a consultant, a written contract between the consultant and the operating agency must be developed. Items to which this section applies would be identified in Section IX-B, Purchased Services Summary, page 10, of the application. Contracts must include the following information and be available for audit purposes:

-name and title of person or vendor performing services;
-description of the services to be performed, including time of contract;
-the manner in which the services will be performed within a time sequence;
-description of how the performance of the services will be evaluated;
-arrangements for payment including contract, fee, payment schedules, and conditions for final payment;
-a certification of debarment and suspension, if applicable; and
-signature of consultant or vendor representative and LEA representative.

DEBARMENT AND SUSPENSION

Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion is required by the regulations implementing Executive Order 12549; and regulations implementing this order are found at 34 CFR 85. These regulations require that the DPI/DHCPS participate in a government-wide system to exclude any individual, corporation, partnership, association, unit of government, or legal entity from federal financial and nonfinancial assistance if such individual or entity is debarred or suspended. Basically, these regulations specify that if an individual or entity misuses federal funds in any federal program, participation is denied in all federal programs.

A covered transaction is a primary covered transaction or a lower tier covered transaction. A primary covered transaction, per 34 CFR 85.110 (1), is "any nonprocurement transaction between an agency and a person, regardless of type, including: grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements and any other nonprocurement transactions . . . ." Lower tier covered transactions are identified below.

The DHCPS must collect a Lower Tier Covered Transaction Certification form for <u>each</u> IDEA or IDEA preschool discretionary grant awarded each year. This form certifies that:

> ...the entity and its principals are not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in any federal department or agency. Principal is defined as an officer, director, owner, partner, key employee, or other person with primary management or supervisory responsibilities or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Any LEA, CESA, or CHCEB electing to issue a subtier grant (award or contract) from <u>flow-</u>

through, entitlement, or discretionary funds must collect a Lower Tier Covered Transaction Certification form from subgrantees under the following covered transactions:

A. Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction.

B. Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the Federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) (currently $25,000) under a primary covered transaction.

C. Any procurement contract for goods or services between a participant and person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are: (1) Principal investigators, and (2) Providers of federally-required audit services.

LEAs have minimal contact with principal investigators who are found in U.W. systems involved in research grants. Providers of federally required audit services would include those conducting annual audits of LEAs.

Knowingly doing business under a covered transaction with a person or entity who is debarred, suspended, ineligible, or voluntarily excluded may result in disallowance of costs, annulment or termination of award, issuance of a stop work order, debarment or suspension, or other remedies. LEAs, CESAs, and CHCEBs may rely on the certification form, without further verification, to meet the requirements of the regulations unless it is known that the certification is erroneous. States and LEAs may not be debarred or suspended but their principals may.

LEAs, CESAs, and CHCEBs who issue subtier grants and are required to collect signed certification forms should retain them in their program files. They may use the form in the application (page 3) for this purpose.

EVALUATION

A well-designed program reveals a continuous and logical linkage from the NEEDS of the program to the PURPOSE of the program to the OBJECTIVES which will satisfy the needs, to the ACTIVITIES to be implemented to achieve the objectives to the EVALUATION which measures how well the objectives were accomplished and the activities implemented, and the FEEDBACK vehicle to modify the program as needed.

The evaluation process for all project applications has been designed to:

-allow project operators to evaluate their own activities using appropriate evaluation activities;

-provide a reporting framework designed to assist project operators meet their own and the DPI's needs for evaluation information; and

-have sufficient flexibility to interface with the requirements of Chapter 115, IDEA, and PL 89-313 without duplication of effort and/or excess developmental costs.

For the evaluation, project operators are responsible for implementing the local evaluation as described in the application and submitting an evaluation report based on the project goals accomplished and products developed. This evaluation report will consist of completing PI-2111A, End of Year Report--Education Funding for Children with Disabilities. This report must be submitted within 30 days after the project ending date (July 30). Form PI-2111A is the last page of the application form.

FEDERAL RECEIPTS/STATE CATEGORICAL AIDS

Wis. Stats., s.115.88(7), requires the deduction of federal receipts prior to any calculation of state EEN categorical aids.

If a district chooses to use federal funds to pay for tuition, it is important to inform the host district. The host district must deduct all federal receipts prior to claiming state categorical aid. Therefore, the host district must be aware of the funding source at budget preparation time.

PROJECT CHANGES

Because of the tremendous amount of interaction in federal programs, it is necessary to consolidate communication on project matters. Therefore, only the project director should request changes for project content or budget structure to the DHCPS program administrator. (Sandra Berndt for IDEA and PL 89-313; Brent Odell for preschool).

PROJECT NUMBERS

Project numbers are assigned to all projects when received by the DHCPS. Project numbers consist of the fiscal year of operation, the agency identification code, and a sequence number. The sequence number assigned will be found on the approved copy of your application returned with the grant approval notification. This project number should be used on all correspondence and forms.

PROJECT YEAR

In order to fulfill our obligations for expenditures of funds within appropriate years and to keep within the WESSAS reporting period, July 1 through the following June 30, it is necessary for the project year to end on June 30.

DIRECTIONS FOR COMPLETING PI-2111 (Rev. 1/94)
IDEA/PL 89-313/ IDEA PRESCHOOL APPLICATION/PLAN

Three copies of the completed application should be submitted directly to the DPI/DHCPS, Bureau for Exceptional Children, P.O. Box 7841, Madison, Wisconsin 53707-7841. Use 125 S. Webster Street 53702 for package delivery services.

Directions have been included on the application form where possible. However, additional directions and clarifications for certain sections of the application are included here.

There is no specific deadline for submission of IDEA flow-through, IDEA preschool entitlement, and PL 89-313 LEA transfer applications. However, no encumbrances or expenditures can be made until July 1, or until the project application is received by the department, whichever is later.

The deadline date for submission of IDEA and IDEA preschool discretionary applications is May 1, 1994.

SECTION I. PROJECT IDENTIFICATION (Page 1)

Item 1. The administering/fiscal agency must be a public agency.

Item 3. The project director is the person at the administering/fiscal agency who is responsible for project operations. All correspondence regarding the project should be from this person.

Item 6. Only one box per application may be checked.

Items 7-9. Fill in the LEA code, CESA code, and county code for the fiscal agent listed at item #1.

Item 10. Fill in the number of participating districts. Districts should be listed on page 2 of the application. There is always at least one district participating.

Item 11. Fill in the major priority designation for IDEA Preschool (A-E) and IDEA (A-F) discretionary projects.

Item 12. List the project title (discretionary only).

Item 13. Identify which year of project funding. For year 1, check "1"; year 2, check "2", etc. (discretionary only). Include the year of application when calculating the year of funding.

SECTIONS II AND III. ASSURANCES FOR PL 89-313 AND IDEA (PAGE 1)

The application form references applicable federal rules and regulations for PL 89-313 and IDEA with which every applicant agency must comply. All documentation is incorporated herein by reference.

By signing the application form, the chief officer certifies compliance with all the applicable state and federal statutes, rules and regulations. The chief officer of the administering/fiscal agency is the school district, CESA, or CHCEB administrator.

SECTION IV. CERTIFICATION AND ENTITLEMENT (PAGES 2-3)

This section must be completed for all cooperative agency programs. In a cooperative district application under a 66.30 agreement, the operating district should be listed first. Single district applicants do not complete this page. The number of LEAs listed on page 2 should agree with the number listed on page 1, item 10, of the application. In a CESA or CHCEB application, only the names of the participating districts would be shown.

Discretionary grant applicants complete columns A and B only. Columns A, B and C are to be completed for entitlement projects. There is no entry for the CESA or CHCEB. Column C is the district entitlement. This can be found on the entitlement list sent to districts from the department.

Only discretionary projects need to complete the portion on debarment, suspension, ineligibility and voluntary exclusion - lower tier covered transactions on page 3 of the application.

SECTION V. PROGRAM ADVISORY COMMITTEE MEMBERSHIP (PAGE 4)

Please list the names and the titles and/or roles of each member of the project's advisory committee, clearly noting the members who are parents of children with disabilities. Please list the committee chairperson first.

SECTION VI. PROGRAM DESCRIPTION (PAGE 5)

A. Project Participants

This section must be completed for LEA Transfer and discretionary projects only.

B. WESSAS functions

Check all **WESSAS** function codes that apply to the project. Since WESSAS has not been amended to include functions for autism or traumatic brain injury, the function code for the program in which these children are currently being served should be checked if autistic or traumatic brain injury children will be included in the project.

C. Narrative

Each agency must insert pages in its application to address the following questions in the narrative:

1. IDEA and preschool discretionary projects: a) which priority area is addressed; b) what need has been identified; c) what are the project goals, objectives and intended results d) what is the relevant research or literature, and e) what specific items are to be funded with this grant.

2. IDEA, preschool and 89-313 entitlement projects: a) what need has been identified; b) what are the project goals, objectives and intended results, and c) what specific items are to be funded with this grant.

SECTION VII. COMPREHENSIVE SYSTEM OF PERSONNEL DEVELOPMENT (PAGES 6-7)

Complete for IDEA flow-through projects only. All flow-through applications must include this section even if no federal funds are used for CSPD activities. The local school district's CSPD plan should include a complete record of its planned activities including participation, needs assessment, personnel development action plan, dissemination/adoption, and evaluation. Be sure to include budget figures on the bottom of page 7.

SECTION VIII. PRIVATE SCHOOL PARTICIPATION (Birth through 21 years.) (Page 8)

Complete this section for IDEA flow-through and IDEA preschool entitlement projects only. Please include all children birth through 21 years.

Describe how private schools participate in these federal projects by answering each question relative to the private schools within the applicant's service area. If there are no private schools in the area, so indicate. A list of private schools within an applicant's service area can be found in the Wisconsin Public/Private School Directory available from the department's publications

office. Agencies which serve children under the age of six such as Head Start, community preschools, and birth-to-3 programs should be consulted in the development of this application. It is appropriate to include representatives from these agencies on the advisory committee.

BUDGET DETAIL - SECTION IX.
A. PERSONNEL SUMMARY (PAGE 9)

For each staff person paid for with any project funds, enter the following information in columns 1-5: WESSAS function, name, social security number, DPI certification code, position held, and full-time equivalent (FTE) to be paid with project funds. The social security number is required only for certifiable positions. All special education instructional and/or leadership personnel must be listed and approved on an appropriate plan of service that corresponds with the WESSAS function listed.

In column 6, indicate the salaries and fringes to be paid by the project.

If requesting funds for substitute teachers, enter "sub teacher(s)" in the "position held" column and the amount of salary/fringe requested.

If a position is vacant, enter "vacant" or "to-be-hired" in the name column. Revise the personnel summary and send to DPI when positions are filled, except for positions which do not require EEN certification. Submit the revision with the first claim filed after the vacancy is filled.

Columns 7-9 regarding state/local or other dollars and the total salary and fringe amounts must be completed for discretionary projects only.

B. PURCHASED SERVICES SUMMARY (PAGE 10)

Federal regulations require approval of all personal service contracts. State certification standards must be met when applicable. Contracts may be required to contain debarment certifications.

Intergovernmental Purchased Services: List all anticipated purchased services from governmental agencies other than the fiscal agent listed on page 1. This includes school districts; CESAs; and county, municipal, and state governments, and the University of Wisconsin system. If personnel costs are to be paid and professional staff are known, list in appropriate column along with the DPI certification code. Also record anticipated tuition payments to other public schools here. Do not include interfund transfers.

Other Purchased Services: All direct service contracts with individuals and non-governmental agencies must be listed individually.

C. CAPITAL OBJECTS (PAGE 11)

List all known capital objects to be purchased with project funds. If possible list all costs under one function together. Use additional pages as necessary. Regulations require prior approval of capital objects that have a useful life of more than one year. Equipment and rentals are categorized in WESSAS as capital objects.

Capital objects are defined in WESSAS as items of a permanent or enduring nature which are sufficiently expensive to warrant capitalization and which are of value for a period longer than the year in which they are acquired. Capital objects are identified in the budget summary in the 500 object series. NOTE: Computer software is usually classified as a non-capital object, (object code 435), and need not be listed here.

When your application is approved, specific items listed under this section which have not been deleted may be purchased without additional approval. To purchase capital objects not listed, revise and resubmit page 11. Remember to include the new date on the revised page. Do not submit outdated form PI 2175, the budget revision/capital object approval form. This form is no longer in use.

SECTION X. BUDGET SUMMARY (PAGE 12)

This section summarizes all project costs on one page. If the project includes WESSAS functions not listed, merely cross out an existing function code not being used and enter the new information in its place.

When submitting budget revisions, enter the new information on page 12 and resubmit the entire page. Be sure to include the new date of submission at the top left corner of the page.

PI-2111A END OF YEAR REPORT--Education Funding For Children with Disabilities
(The last page of the application form)

Evaluations are due 30 days after the project ends.

Check type of grant and complete identification data. List the project goals detailed in Section VII--Narrative of the application and indicate whether they were met. List any products developed with project funds in the space provided or attach additional pages. Remember, when applying for the second or third year of discretionary project funds, the evaluation form and samples of products produced must accompany the new application.

ACRONYMS

IDEA	Individuals with Disabilities Educatica Act. 20 USC 33 This is the name change for PL 94-142, an amendment to Title VI, Part B of the Education of the Handicapped Act
PL 99-457	Public Law 99-457, an amendment to Title VI, Part B of the Education of the Handicapped Act, relating to preschool programs
PL 89-313	Public Law 89-313, an amendment to Title I of the Elementary and Secondary Education Act, providing funding for children with disabilities in state-operated programs.
DPI	Department of Public Instruction, also referred to as department.
EEN	Exceptional Educational Needs
M-Team	Multidisciplinary team, evaluation team
LEA	Local Educational Agency
CESA	Cooperative Educational Service Agency
CHCEB	County Handicapped Children's Education Board
EDGAR	Education Department General Administrative Regulations
WESSAS	Wisconsin Elementary and Secondary School Accounting System
DHCPS	Division for Handicapped Children and Pupil Services
OSEP	Office of Special Education Programs
IEP	Individualized Education Program
CSPD	Comprehensive System of Personnel Development
EC:EEN	Early Childhood: Exceptional Educational Needs
WCESAAS	Wisconsin CESA Accounting System

January 1994

DIVISION FOR HANDICAPPED CHILDREN AND PUPIL SERVICES

Juanita S. Pawlisch, Ph.D., Assistant Superintendent	266-1649
Karen Miller, Secretary	266-1649
Sally Sarnstrom, Residential Schools Liaison	266-7475

Bureau for Exceptional Children

Paul Halverson, Director	266-1781
Sharon Stark, Program Assistant	266-1781
Kathy Culbertson, Program Assistant	267-9168

Developmental, Behavioral & Learning Impaired Section

Tom Stockton, Chief	266-1787
Debbie Gaffney Dilley, Program Assistant	266-1787
Pat Bober, Consultant, Occupational Therapy	266-5194
Lynn Boreson, Consultant, Emotionally Disturbed	266-1218
Sandra Corbett, Consultant, Physical Therapy	267-9181
Jim Despins, Consultant, Cognitive Disabilities	266-1785
Judd Harmon, Research & Evaluation Specialist	266-3945
Julia House, Program Assistant	267-9175
Judy Reyes, Program Assistant	267-3749
Anne Rodgers-Rhyme, Consultant, Staff Development--CSPD	266-1146
Betty Ross-Thomson, Consultant, Physically/Other Health Imp.	266-3928
Marjorie Schenk, Program Assistant	267-9176
Angela Wilson-Richards, Project SELECT	266-9160
Vacant, Consultant, Learning Disabilities	266-5583

Early Childhood, Sensory & Language Impaired Section

Brent Odell, Chief	266-6981
Paula Thome, Program Assistant	266-6981
Jack Frye-Osier, Consultant, Educational Audiology	267-3720
Nancy Fuhrman, Program Assistant	267-7904
Doris Grenzow, Program Assistant	266-1068
Jill Haglund, Early Intervention Specialist	267-9625
Ann Kellogg, Consultant, Transition Programs	267-3748
Jenny Lange, Consultant, Early Childhood--EEN Program	267-9172
Barb Leadholm, Consultant, Speech & Language	266-1783
Andrew Papineau, Consultant, Visually Impaired	266-3522
Carol Schweitzer, Consultant, Hearing Impaired	266-7097

Program Review and Compliance Section

Sandra Berndt, Chief	266-2841
Lynn King, Program Assistant	266-2841
Jack Frye-Osier, Consultant, Program Compliance--Compliance Monitoring	266-3720
Anita Heisig, Program Assistant	267-9167
Gary Holloway, Consultant, Program Compliance--Compliance Monitoring	267-9237
Jeanne Hook, Program Assistant	267-3747
Beverly Kochan, Consultant, Program Compliance--Federal Data	266-7118
Margaret McMurray, Consultant, Program Compliance--Projects	267-9158
Donita O'Donnell, Consultant, Program Compliance--CCI Monitoring	266-6438
Stephanie Petska, Consultant, Program Compliance--Leadership	266-1800
Pat Sweeney, Budget and Management Analyst	266-5193
Elliot Weiman, Consultant, Program Compliance--Complaint Investigation	266-3648

Bureau for Pupil Services

Nancy Holloway, Director	266-8960
Joan Meier, Program Assistant	266-8960
Joe Quick, Project Director, Comprehensive School Health Program	267-9187
Linda Diring, Program Assistant	266-5197
Michael Thompson, Chief	266-3584
Bill Berkan, Consultant, School Social Work Services	266-7921
Ken Brittingham, Consultant, Counseling & Guidance	266-2829
Nic Dibble, Consultant, Alcohol & Other Drug Abuse Programs	266-0963
Cindy Erickson, Consultant, School Nursing & Health Services	266-8857
Steve Fernan, Federal Alcohol & Other Drug Abuse Program	266-3889
Susan Fredlund, Consultant, Alcohol & Other Drug Abuse Programs	267-9242
Luann Gerth, Project Director, Drug Free School Personnel Training Grant	267-5078
Mary Kleusch, Federal Alcohol & Other Drug Abuse Program	266-7051
Sean Mulhern, Consultant, School Psychological Services	266-7189
Betty Rowe, Consultant, Human Growth & Development and School Age Parent Programs	267-3725
Randy Thiel, Consultant, Alcohol/Traffic Safety	266-9677
Lori Weiselberg, Consultant, AIDS/HIV Prevention	267-3721

Bureau for Educational Equity Programs

William Erpenbach, Director	267-1072
Diane Sullivan, Program Assistant	266-1027

Alternative Programs Section

, Chief	267-9166
Preston Smeltzer, Consultant, Vocational Special Needs Educ.	266-7987
Steve Gilles, Consultant, Children at Risk Program	266-1723

Cultural and Equity Section

Barbara Bitters, Chief	266-9609

Special Needs Section

Myrna Toney, Chief	266-2690

Wisconsin School for the Deaf and Educational Services Center for the Hearing Impaired

Timothy A. Jaech, Superintendent	414-728-7120

Wisconsin School for the Visually Handicapped and Educational Services Center for the Visually Impaired

William Koehler, Superintendent	608-758-6100

OTHER CONTACT PERSONS

Division for School Financial Resources and Management Services

Federal Aids and Audit Section

Allen Vick, Chief	266-2428
James Perry, Account Specialist	266-3489

ELIGIBLE HANDICAPPED CERTIFICATION CODES

805 - Hearing Impaired

806 - Mild or Moderate Mental Retardation

807 - Severely Handicapped

808 - Early Childhood--Exceptional Education

810 - Mental Retardation

811 - Learning Disabilities

812 - Occupational Therapist

815 - Orthopedic Disability

817 - Physical Therapist

820 - Speech or Language Pathology

825 - Visually Impaired

826 - Orientation and Mobility

830 - Emotional Disturbance

859 - Adaptive Education

860 - Adaptive Physical Education

861 - Music--Special Education

862 - Art--Special Education

863 - Home Economics--Special Education

864 - Industrial Arts--Special Education

865 - Business Education--Special Education

866 - Agriculture--Special Education

867 - Distributive Education--Special Education

883 - Special Education Program Aide

FINANCIAL MANAGEMENT HANDBOOK EXCERPTS

More information on federal and state grant management is found in the Financial Management Handbook for federal and state grant programs. Copies of this handbook may be obtained by contacting:

Allen Vick, Chief, Federal Aids and Audit Section
Department of Public Instruction
P. O. Box 7841
Madison, Wisconsin 53707-7841

The excerpts are intended to give guidance to LEAs in administering federal program requirements. It is not intended to be all inclusive, but rather answer some of the commonly asked questions about federal grant administration.

- Copyrights (34 CFR 80.34)
- Record Retention (34 CFR 80.42)
- Procurement Standards (34 CFR 80.36)
- Allowable Costs and Unallowable Costs (34 CFR 74, Subpart Q, Appendix C)
- Indirect Cost Rates (34 CFR 74, Subpart Q, Appendix C)
- Obligation of Funds (34 CFR 76.704 and 76.707)
- Uniform Property Management Standards (34 CFR 80.32)

The Financial Management Handbook includes additional information in the areas of:

- Nonsupplanting, pp.30-31
- Carry-over, p.31
- Excess Cost, p. 31-32
- Sample Claim form, p. 51

COPYRIGHTS (34 CFR 80.34)

If any copyrightable material is developed in the course of or under a subgrant, the U. S.Department of Education and the Department of Public Instruction shall have a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, the work for Federal Government and State purposes.

Income from royalties and license fees for copyrighted material developed by a grantee or subgrantee is program income only if the revenues are specifically identified in the grant agreement or Federal agency regulations as program income.

RECORD RETENTION (34 CFR 80.42)

A five-year retention period is required for all financial and programmatic records. If any litigation, claim, negotiations, audit or other action involving the records has been started before the end of the five-year period, the records must be retained until completion of the action and resolution of all issues or until the end of the five-year period, whichever is later.

The starting date of retention begins on the day the final expenditure report is submitted. The retention period for equipment records starts on the date of disposition or replacement or transfer.

PROCUREMENT STANDARDS (34 CFR 80.36)

The procurement standards apply to the purchase of supplies, equipment, construction and other services funded in whole or in part by federal grant funds. LEA procurement policies must be in accordance with 34 CFR 80.36 when using federal funds. The complete text of 34 CFR 80.36 can in found in the Financial Management Handbook.

ALLOWABLE COSTS AND UNALLOWABLE COSTS (34 CFR, Part 80.22 - OMB Circular A-87)

Allowable Costs

LEAs assume responsibility for insuring that federally assisted program funds have been expended and accounted for consistent with program regulations and approved applications. Allowable costs generally are categorized as either direct or indirect. Typical direct costs include salaries, fringes, benefits, purchased services, non-capital objects and capital objects.

Basic Guidelines

To be allowable under a Federal award, costs must meet the following general criteria.

a. Be necessary and reasonable for proper and efficient performance and administration of Federal awards and be allocable thereto under these principles.

b. Be authorized or not prohibited under State or local laws or regulations.

c. Conform to any limitations or exclusions set forth in these principles, Federal laws, or other governing limitations as to types or amounts of cost items.

d. Be consistent with policies, regulations, and procedures that apply uniformly to both federally assisted and other activities of the governmental unit.

e. Be accorded consistent treatment. Consequently, a cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to a Federal award as an indirect cost.

f. Be determined in accordance with generally accepted accounting principles appropriate to the circumstances.

g. Not be included as a cost or used to meet cost sharing or matching requirements of any other federally-supported activity in either the current or a prior period.

h. Be net of all applicable credits.

i. Be adequately documented.

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In determining reasonableness of a given cost, consideration shall be given to:

a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.

b. The restraints or requirements imposed by such factors as sound business practices, arms length bargaining, Federal, State and other laws and regulations, and terms and conditions of the Federal awards.

c. Market prices for comparable goods or services.

d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large and the Federal Government.

e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the Federal awards cost.

Unallowable Costs

1. Bad Debts. Any losses arising from uncollectible accounts and other claims, and related costs, are unallowable.
2. Contingencies. Contributions to a contingency reserve or any similar provision for unforeseen events are unallowable.
3. Contributions and donations.
4. Entertainment. Costs of amusements, social activities and incidental costs such as meals, beverages, lodging, rentals, transportation and gratuities are unallowable.
5. Fines and penalties. Costs resulting from violations of, or failure to comply with, federal, state, and local laws and regulations are unallowable.

6. Interest and other financial costs. Interest on borrowings (however represented), bond discounts, cost of financing and refinancing operations, and legal and professional fees paid in connection therewith, are unallowable except when authorized by Federal legislation.
7. Legislative expenses. Salaries and other expenses of the State legislature or similar local government bodies such as county supervisors, city councils, school boards, etc., whether incurred for purposes of legislation or executive direction, are unallowable.
8. Underrecovery of costs under grant agreements. Any excess of cost over the federal contribution under one grant agreement is unallowable under other grant agreements.
9. Expenditures of the office of the chief executive (district administrator) are unallowable.

INDIRECT COST RATES (34 CFR, Part 74, Subpart Q, Appendix C)

Indirect cost are those costs which are not readily identified with the activities funded by the federal grant or contract but are nevertheless incurred for the joint benefit of those activities and other activities and programs of the LEA. Accounting, auditing, payroll, personnel, budgeting, purchasing, and operation and maintenance of plant are examples of services which typically benefit several activities and programs and for which appropriate costs may be attributed to the federal program by means of an indirect cost allocation plan. In theory, all costs could be charged as direct costs, but where practical limitations and considerations of efficiency preclude such an approach, an indirect cost allocation plan is an acceptable alternative.

If an LEA elects to recover indirect costs, an indirect cost rate must be approved annually by DPI and included in the federal program budget. Recovery of indirect costs does not mean that more funds will be available from federal programs. Formula-based grants generate funds for LEAs based upon formula requirements. Reimbursement from DPI for the combination of direct and indirect costs may not exceed the federal funds available to an LEA.

Federal regulations require that a restricted indirect cost rate be computed for federal education programs which prohibit supplanting. Computation of the restricted indirect cost rate excludes maintenance and operation of plant expenditures. Furthermore, indirect cost rate computations exclude any extraordinary or distorting expenditures such as capital expenditures or "pass through" funds. Normally pass through funds are associated with "transit of aid" in WESSAS. Basically the restricted indirect cost rate may be applied to salaries, fringe, non-capital objects and purchased services excluding intergovernmental payments. Normally restricted indirect cost rates approved by DPI range from one to three percent.

OBLIGATION OF FUNDS (34 CFR, Parts 76.704 and 76.707)

When LEAs may begin to obligate funds depends upon the authorizing statute as follows:

a. If grants are awarded based upon a formula, an LEA may not obligate funds until the later of:

   1. July 1; or
   2. the date that the LEA submits its application to DPI in substantially approvable form.

   Reimbursement for obligations made under formula based grants is subject to final approval of the application.

b. If grants are awarded on a discretionary basis, LEAs may not obligate funds until the grant is made. However, DPI may approve pre-agreement costs which are consistent with allowable costs under the grant.

When is an obligation made?

If The Obligation Is For:	The Obligation Is Made:
1. Equipment or Supplies	On the date which the LEA makes a binding written commitment to acquire the equipment or supplies
2. Personal services by an employee of the LEA	When the services are performed
3. Personal services by a contractor who is not an employee of the LEA	On the date which the LEA makes a binding written commitment to obtain the services
4. Public utility services	When the LEA receives the services
5. Travel	When the travel is taken
6. Rental of building or equipment	When the LEA uses the building or equipment

Note: Discussion under Program Fiscal Report of this handbook indicates that all obligations must be liquidated prior to submission of a final claim. Final claims on federal projects must be submitted by September 30.

UNIFORM PROPERTY MANAGEMENT STANDARDS (34 CFR, Part 80.32)

The following discussion applies to equipment purchased in part or whole with funds received from grants from the U.S. Department of Education.

ACQUISITION COST is defined as the net invoice price of the equipment, including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the equipment usable for the purpose for which it was acquired. Other charges such as the costs of installation, transportation or taxes may be included in or excluded from the unit acquisition cost in accordance with the regular accounting practices of LEAs.

EQUIPMENT is defined as property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. An LEA may use its own definition of equipment provided that such definition would at least include the equipment defined in the previous sentence.

Equipment must be used in the project or programs for which it was acquired as long as needed, whether or not the project or program continues to be supported by federal funds. When no longer needed for the original project or program the equipment must be used, if needed, in other projects or programs currently or previously sponsored by the federal government, with priority to federal programs sponsored by the U.S. Department of Education.

If the equipment is being used less than full time in the project or program for which it was originally acquired, the equipment must be made available for use in other projects or programs currently or previously sponsored by the federal government, provided such use will not interfere with the work of the original project or program. When no longer needed for the original project or program, the equipment must be used in connection with other federally sponsored programs.

DISPOSITION of equipment shall be made if the equipment is no longer to be used in projects or programs currently or previously sponsored by the federal government. Equipment with a current per unit fair market value of less than $5,000 may be retained, sold, or otherwise disposed of, with no further obligation.

Equipment with a current per unit fair market value in excess of $5,000 may be retained or sold. The federal government has a right to an amount calculated by multiplying the current market value or the proceeds from the sale by the federal share of the equipment. The federal share of equipment shall be the same percentage as the federal share of the LEAs total costs under the grant. When disposing of equipment write to the appropriate DPI program administrator.

When acquiring replacement equipment, the grantee or subgrantee may use the equipment to be replaced as a trade-in or sell the property and use the proceeds to offset the cost of the replacement property, subject to the approval of the awarding agency.

Property management requirements are:

1. Property records must be maintained that include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

2. A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.

3. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated.

4. Adequate maintenance procedures must be developed to keep the property in good condition.

5. If the grantee or subgrantee is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.

NONSUPPLANTING

Section 300.230 requires LEAs to use funds provided under the Individuals with Disabilities Education Act (IDEA) to supplement and, to the extent practicable, increase state and local expenditures for the education of children with disabilities, and in no case to supplant state and local funds.

To meet this requirement, the total amount or average per capita amount of state and local funds budgeted by LEAs for expenditures in the current fiscal year for the education of children with disabilities must be at least equal to the total amount or average per capita amount of state and local funds actually expended for the education of children with disabilities in the most recent preceding fiscal year.

Allowances can be made if there is a decrease in the enrollment of children with disabilities or if unusually large amounts of funds were expended for long-term purposes such as acquisition of equipment.

LEAs provide assurance on the application that IDEA funds are used in accordance with 300.230. To enable LEAs to readily determine compliance with the nonsupplant requirement completion of the worksheet on the following page is recommended. The worksheet compares anticipated expenditures for children with disabilities as stated in the Budget Report (PI-1504) to the actual expenditures in the previous year's Annual Report (PI-1505). For example, verification of the nonsupplanting requirement for 1993-94 would be computed by composing EEN budgeted costs in the 1993-94 Budget Report to EEN expenditures in the

1992-93 Annual Report.

The completed worksheet should be retained by the LEA to verify compliance. CESA and consortia fiscal agents should retain a worksheet for each participating LEA.

NONSUPPLANTING WORKSHEET/EHA-PART B FLOW THROUGH
Part I

Function	Table 1.10 (General Fund) Budget & Annual Report	Preceding FY___ Expenditures	Current FY___ Budget
152000	Early Childhood		
153000	Emotionally Disturbed		
155200	Mentally Retarded (Mild/Border)		
155300	Mentally Retarded (Mod/Severe)		
156110	Hearing Impaired		
156120	Deaf/Blind		
156210	EEN (Homebound)		
156310	Occupational Therapy		
156320	Physical Therapy		
156410	Physical/Other Health Imp (Classroom)		
156420	Physical/Other Health Imp (Hospital)		
156600	Speech/Language		
156700	Visually Impaired		
156900	Other Phys. Handicap		
157000	Learning Disabilities		
158100	Multicategorical		
158200	Service Needs Delivery System		
212000*	Social Work @ 51%		
215000*	Psychological Services @ 51%		
223300	Exceptional Education (Supervisor/Coordinator)		
Total of 256251 - 256912	Special (Handicapped) Pupil Transportation		
	TOTAL		

*Statutes of Wisconsin 115.88 provide for reimbursement of social workers and psychologists at 51 percent. LEA's may however, use a different percentage if it would more accurately reflect the amount attributable to EEN. The basis for the adjusted percentage should be documented.

NONSUPPLANTING WORKSHEET/EHA-PART B FLOW THROUGH

Part II

		Preceding FY___	Current FY___
A.	TOTAL State & Local Funds for EEN (from Part I)	$	$
B.	EEN Enrollment		
C.	Average per Capita for EEN (A/B)	$	$

Federal Regulation 34 CFR 300.230 (b) (1) and (2)

The total amount or average per capita amount of State and local funds budgeted by LEAs for expenditures in the current fiscal year for the education of children with disabilities must be at least equal to the total amount or average per capita amount of State and local funds actually expended for the education of children with disabilities in the most recent preceding fiscal year and the LEA must not use Part B funds to displace State or local funds for any particular cost.

District Name _____

CARRY-OVER

Section 300.708 provides authority to reallocate Part B funds if an LEA is adequately providing a free appropriate public education to all children with disabilities residing in the area served by the LEA and the Part B funds are not required to provide special education and related services. LEAs may carry-over up to 25 percent of their previous year's IDEA or Preschool entitlement. The use of carry-over funds must be approved through the application process or subsequent budget amendment. If an LEA exceeds the allowable carry-over balance, the excess funds are reallocated through the statewide distribution formula.

EXCESS COST

Section 300.229 requires that each application provide assurance that LEAs use Part B funds only for excess costs which are directly attributable to the education of children with disabilities. The excess cost requirement means that the LEA must spend a certain minimum amount for the education of its children with disabilities before Part B funds are used. This insures that children served with Part B funds have at least the same average amount spent on them, from sources other than Part B, as to the children in the school district taken as a whole. Regulations require LEAs to make one computation for children with disabilities in elementary schools and a separate computation for children with disabilities in secondary schools.

Example Excess Cost Computation - Section 300.184
(costs include local, state, and federal sources)

Total expenditures for elementary school students	$10,500,000
Less capital outlay and debt service	-500,000
Less programs for children with disabilities	-600,000
Less programs to meet the special educational needs of educationally deprived children	-700,000
Less programs of bilingual education for children with limited English-speaking ability	-300,000
	8,400,000

The average number of students enrolled in elementary schools of the LEA last year, including students with disabilities = 7,000

$8,400,000 / 7,000 = 1,200

$1,200 = the minimum amount the LEA must spend, on the average, for the education of each of its students with disabilities before funds under Part B may be used.

DISTINGUISHING BETWEEN CAPITAL/NON-CAPITAL OBJECTS

The criteria for distinguishing between capital and non-capital objects are based on a combination of the most practical guidelines from various sources. Unless otherwise bound by federal, state, or local requirements, districts should use the criteria below in their supply/equipment classification decisions. In cases where the distinction is unclear, the district must apply reason and good judgement in making its decision. For purposes of IDEA, classification of capital and non-capital objects must be consistent with District/Agency policy.

Capital Objects

Sites and buildings are capital objects which are easily distinguishable. Equipment is another class of capital objects which may include items difficult to distinguish from non-capital items.

The capital object designation is used for any instrument, machine, apparatus, vehicle, object, or set of articles which meets all of the following criteria:

1. It retains its original shape, appearance, and/or character with use.
2. It maintains its identity if incorporated into a different or more complex unit or substance.
3. If the item is damaged or some of its parts are lost or worn out, it is more feasible to repair the item than to replace it with an entirely new unit.
4. Under normal conditions of use, including reasonable care and maintenance, it can be expected to serve its principal purpose for at least one year.
5. Its acquisition cost was enough to warrant capitalization of the object.

Capital objects are coded in the 500 series of WESSAS codes. Examples include:
Computer Hardware (CPR, Monitor, Printer, Cart, etc.)
Office Equipment and Furniture (Desks, Chairs, Filing Cabinets, Typewriters, Copiers, etc.)
Classroom Furniture (Teachers Desks, Student Desks, Tables, etc.)
A V Equipment (TV, VCR, Stereo, Projectors, Overhead, Camcorder, etc.)
Site Rentals, Vehicles, Specially Designed Equipment

Non-Capital Objects

A non-capital object is an item which does not meet all five of the criteria for capital objects. If it meets the capital object criteria but is of relatively small value, the object may be considered non-capital. Most non-capital objects are considered to be supplies, instructional materials and books. Non-capital objects are coded in the 400 series of WESSAS codes. Examples would be: Textbooks, Computer Software, Newspapers and Periodicals, Resource Materials, Library Books, Food, Materials and Supplies, and Non-Capital Equipment - Small Equipment Items (containers, furnishings, hand tools, tape recorders, calculators, kitchen utensils, can openers, toasters, etc.)

D P I Wisconsin Department of Public Instruction
PROGRAM FISCAL REPORT
PI-1086 (Rev. 11-90)

-SAMPLE-

Refer to instructions on reverse side

Mail to: Wisconsin Department of Public Instruction
Federal Aids and Audit Section
P.O. Box 7841
Madison, WI 53707-7841

Project Number	District/Agency Legal Name	Report for Period Ending	Program Specify
92-6749-10	School District of Anyplace	12/31/91	IDEA Flow Through
Project Name		**Project Beginning Date**	**Project Ending Date**
IDEA - Flow-Through		7/1/91	6/30/92

SUMMARY

Report Project Transactions by Account

Account Code			Account Name	Approved Budget	Unliquidated Encumbrances	Total Disbursements To Date	Unencumbered Balance
24	410	153 000	Materials-ED	862.00	205.90	610.27	45.83
24	100	155 200	Salaries-MR mild/bord	4,600.00		2,412.87	2,187.13
24	200	155 200	Fringe Benefits-MR mild/bord	1,630.00		721.98	908.02
24	410	155 200	Materials-MR mild/bord	350.00		350.00	-0-
24	382	156 410	Tuition-PH/OHI	2,500.00	1,250.00	1,250.00	-0-
24	410	156 600	Materials-S/L	413.00		191.63	221.37
24	551	156 600	Equipment-S/L	1,300.00		1,148.60	151.40
24	410	157 000	Materials-LD	1,685.00	255.00	475.21	954.79
24	551	157 000	Equipment-LD	2,050.00		2,071.28	(21.28)
24	386	221 300	Inservice-CESA #22	3,000.00	2,000.00	1,000.00	-0-
24	310	221 300	Inservice-Consultants	1,000.00	250.00	250.00	500.00
24	342	221 300	Inservice-Employee Travel	1,000.00		450.00	550.00
24	410	221 300	Materials-Inservice	500.00	100.00	150.00	250.00
24	100	223 300	Salaries-Supv & Coord	5,050.00		1,948.10	3,101.90
24	200	223 300	Fringe Benefits-Supv & Coord	1,860.00		774.84	1,085.16
24	410	223 300	Materials-Supv & Coord	200.00		57.32	142.68
[redacted]			TOTAL	$ 28,000.00	$ 4,060.90	$ 13,862.10	$ 10,077.00

Cash Summary

Total Funds Received to Date	Total Disbursements to Date	Cash on Hand at End of Period
$ 5,877.86	$ 13,862.10	$ (7,984.24)

Type of Report (*Check appropriate box(es)*)
☐ Advance ☐ Final Claim
☒ Partial Claim ☐ Encumbrance Report

Amount Requested: $ 7,984.24

FOR DPI USE ONLY AMOUNT APPROVED: $

CERTIFICATION

I CERTIFY that all receipts and disbursements reported herein are properly substantiated and reconciled with the financial transactions of this District's/Agency's general ledger, and have not been claimed under any other state or federal program.

Signature of District/Agency Administrator	Date	Name of Person Preparing this Report	Telephone *Area/No.*
▸	1/15/92		

BEST COPY AVAILABLE

Instructions for: **PROGRAM FISCAL REPORT**

Report for Period Ending: Record the month and year through which this report is completed.

Program: *Specify the federal or state grant program:* i.e., Chapter 1, Alcohol and Other Drug Abuse.

Project Beginning Date: Report the DPI approved beginning date. Federal funds may not be expended or obligated prior to this date.

Project Ending Date: As stated in your approved contract.

Account Code: List all account codes as used in your approved project budget.

Account Name: Report the name of the account corresponding to the account code.

Approved Budget: Enter the amounts approved for each account as stated in your contract.

Liquidated Encumbrances: Report unpaid obligations (i.e., payables, open purchase orders, personal service contracts, etc.) Encumbrances should be liquidated on the final report.

Total Disbursements to Date: Report the cumulative amount of project payments as recorded on your general ledger. (Do not include payables.)

Unencumbered Balance: Report the amount of funds that have neither been obligated nor disbursed.

Cash Summary: Total funds received ***minus*** Total disbursements to date ***equals*** Cash on hand at end of period. *Cash on hand at end of period often is a negative figure.*

Amount Requested: If an advance is requested, the amount may not exceed a 30-day cash supply.

Additional questions regarding the completion of this report may be directed to the Federal Aids and Audit Section:

SECTION CHIEF: Allen Vick (608) 266-2428

D P I Wisconsin Department of Public Instruction
PROGRAM FISCAL REPORT
PI-1086 (Rev. 11-90)

Refer to instructions on reverse side

Mail to: Wisconsin Department of Public Instruction
Federal Aids and Audit Section
P.O. Box 7841
Madison, WI 53707-7841

Project Number	District/Agency Legal Name	Report for Period Ending	Program *Specify*
Project Name		Project Beginning Date	Project Ending Date

SUMMARY

Report Project Transactions by Account

Account Code	Account Name	Approved Budget	Unliquidated Encumbrances	Total Disbursements To Date	Unencumbered Balance
	TOTAL	$	$	$	$

Cash Summary

Total Funds Received to Date	Total Disbursements to Date	Cash on Hand at End of Period
$	$	$

Type of Report (*Check appropriate box(es)*)
☐ Advance ☐ Final Claim
☐ Partial Claim ☐ Encumbrance Report

Amount Requested
$

FOR DPI USE ONLY
AMOUNT APPROVED
$

CERTIFICATION

I CERTIFY that all receipts and disbursements reported herein are properly substantiated and reconciled with the financial transactions of this District's/Agency's general ledger, and have not been claimed under any other state or federal program.

Signature of District/Agency Administrator	Date	Name of Person Preparing this Report	Telephone *Area/No.*

BEST COPY AVAILABLE

Instructions for: **PROGRAM FISCAL REPORT**

Report for Period Ending: Record the month and year through which this report is completed.

Program: *Specify the federal or state grant program*: i.e., Chapter 1, Alcohol and Other Drug Abuse.

Project Beginning Date: Report the DPI approved beginning date. Federal funds may not be expended or obligated prior to this date.

Project Ending Date: As stated in your approved contract.

Account Code: List all account codes as used in your approved project budget.

Account Name: Report the name of the account corresponding to the account code.

Approved Budget: Enter the amounts approved for each account as stated in your contract.

Unliquidated Encumbrances: Report unpaid obligations (i.e., payables, open purchase orders, personal service contracts, etc.). Encumbrances should be liquidated on the final report.

Total Disbursements to Date: Report the cumulative amount of project payments as recorded on your general ledger. (Do not include payables.)

Unencumbered Balance: Report the amount of funds that have neither been obligated nor disbursed.

Cash Summary: Total funds received ***minus*** Total disbursements to date ***equals*** Cash on hand at end of period. *Cash on hand at end of period often is a negative figure.*

Amount Requested: If an advance is requested, the amount may not exceed a 30-day cash supply.

Additional questions regarding the completion of this report may be directed to the Federal Aids and Audit Section:

SECTION CHIEF: Allen Vick (608) 266-2428

BEST COPY AVAILABLE

Wisconsin Department of Public Instruction
IDEA/PL 89-313 FUNDS
APPLICATION/PLAN
34 CFR 300.180-240
PI-2111 (▼ Rev. 1-94)

INSTRUCTIONS: Retain 1 copy for your files. Submit 3 copies to:

WISCONSIN DEPARTMENT OF PUBLIC INSTRUCTION
DIVISION FOR HANDICAPPED CHILDREN & PUPIL SERVICES
BUREAU FOR EXCEPTIONAL CHILDREN
PO BOX 7841
MADISON, WI 53707-7841

For DPI Use Contact Person	Date Finalized *Mo/Day/Yr*	Grant Award $	Grant Award $	Date Received

I. PROJECT IDENTIFICATION

1. Administering/Fiscal Agency

2. Address Street City, ZIP

3. Project Director

4. Telephone *Area/No.*

5. Address Street, City, Zip

6. Program Designation *Check One*
- ☐ IDEA Flow-Through
- ☐ IDEA Discretionary
- ☐ PL 89-313 LEA Transfer
- ☐ IDEA Preschool Entitlement
- ☐ IDEA Preschool Discretionary

7. Project No.
FY 95 | LEA Code

8. CESA

9. Co. Code

10. No. of Participating Districts

11. Discretionary Priority *List Major Priority*

12. Project Title (Discretionary Only)

13. Identify Which Year of Funding (Discretionary)
Check ☐ 1st Year ☐ 2nd Year ☐ 3rd Year

II. ASSURANCES REQUIRED UNDER PL 89-313 34 CFR 302.11 & 302.31

1. The agency identified above will meet the education standards of the state educational agency in accordance with 34 CFR 302.11.
2. All children with disabilities age three through twenty-one who are participants in the PL 89-313 LEA Transfer project receive a free, appropriate public education.
3. All children with disabilities and their parents who are participants in the project are provided all the rights and procedural safeguards under Part B of IDEA.
4. All services, programs, and projects conducted under this project are of sufficient size, scope, and quality to give reasonable promise toward meeting the special education and early intervention needs of the children to be served.
5. Funds granted under this project will be used to supplement, not supplant, state and local funds in accordance with 34 CFR 302.54.
6. The agency identified above will maintain its fiscal effort in accordance with 34 CFR 302.52.
7. The agency identified above will conduct such evaluations and assessments necessary to demonstrate that the program/project is beneficial to the children served.
8. The parents of children to be served by this project are provided an opportunity to participate in the development of the project application.
9. The agency identified above will comply with all child count and other reporting requirements in a timely manner in accordance with 34 CFR 302.22 and 34 CFR 302.31.

III. ASSURANCES

Each participating public educational agency must ensure that all programs for EEN children will be operated in compliance with all applicable state and federal statutes, rules, and regulations. Following are some federal requirements which must be adhered to in the provision of EEN programs and services. References are to IDEA regulations (34 CFR Part 300) unless otherwise specified.

Child Identification (300.220)
Confidentiality (300.221; 300.560-576) (Family Educational Right and Privacy Act)
Full Educational Opportunity Goal (300.222)
Comprehensive Personnel Development (300.224; 300.139; 300.380-387)
Priorities (300.225; 300.320-324)
Parent Participation (300.226)
Least Restrictive Environment (300.227; 300.500-553)
Excess Cost (300.229)
Comparable Services (300.231)
Individualized Education Program (300.235; 300.340-349)
Protection in Evaluation/Assessment (300.530-534)
Participation of Private School Children (EDGAR 76.651(a); 76.652(a)(b)(c))
Copyrights (EDGAR–section 80.34)
Debarment and Suspension (EDGAR–Part 85)
Nonsupplanting (300.230(a))
Procedural Safeguards (300.237)
Due Process Procedures for Parents and Children (300.500-514)

I HEREBY CERTIFY that I have made a diligent and good faith effort to ascertain the completeness and accuracy of the information and representations made in this application and that, to the best of my knowledge, all such information and representations are complete and accurate; that, on behalf of the participating public educational agencies, all state and federal statutes, rules, and regulations governing programming for EEN children will be complied with; that I have the legal authority to apply for and receive funds under IDEA, or PL 89-313 and that I have been authorized by the participating public educational agencies to do so on their behalf; and that programs and services for which monies are being sought will be administered by or under the supervision of the participating public educational agencies.

I FURTHER CERTIFY that each participating public educational agency has documentation of its compliance with all applicable state and federal statutes, rules, and regulations on file at its administrative office and that this documentation has been submitted to the Wisconsin Department of Public Instruction as part of the department's monitoring responsibilities identified in 34 CFR 300. The district assures that documentation previously submitted to the department is current and in place for the year corresponding to this application. All revisions must be submitted with this application.

Chief Officer of Administering/Fiscal Agency	Signature	Date *Mo/Day/Yr*

IV. CERTIFICATION AND ENTITLEMENT

Use additional sheets if necessary.

Complete only if two or more LEAs are participating in this project. CESA and CHCEB projects must obtain all participating LEA signatures. Each of the undersigned certifies that to be best of his/her knowledge the information contained in this application is complete and accurate, that the public educational agency they represent has authorized them to file this application and to give the necessary assurances of compliance with applicable state and federal statutes, rules, and regulations, and that all participating agencies have entered into an agreement concerning the final disposition of equipment, facilities, and materials that are purchased with federal funds, and that the operating agency designated on page 1 is authorized to administer this project. LEAs recognize that IDEA cooperative projects must operate as a single unit and must address the most severe needs of the cooperative before funds can be utilized for other activities or purposes.

a INDIVIDUAL PARTICIPATING LEAS *List each individual LEA*	b SIGNATURE OF DISTRICT ADMINISTRATOR	ENTITLEMENT PROGRAMS ONLY c. ENTITLEMENT
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		
16.		
17.		
18.		
19.		
20.		
	TOTALS	$

IV. CERTIFICATION AND ENTITLEMENT (continued)

Certification Regarding

Debarment, Suspension, Ineligibility and Voluntary Exclusion

Lower Tier Covered Transactions

Must be submitted for discretionary projects only. However, agencies receiving funds under any of the five grant programs must collect this certificate whenever they enter into a covered transaction with a grantee. (Refer to instructions for more information.)

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211). Copies of the regulations may be obtained by contacting the person to which this proposal is submitted.

1. The prospective lower tier participants certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

LEA/Agency/Company Name

Name and title of Authorized Representative

Signature ➤ | Date

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (202-786-0688).

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

BEST COPY AVAILABLE

V. PROGRAM ADVISORY COMMITTEE MEMBERSHIP

(This information must be submitted by all applicants)

Parents, private school and community representatives should be included (see 34 CFR 300.224, 300.139, 300.381).
Indicate chairperson first followed by LEA staff, parents, etc.

Name	Title/Role
	Chairperson

VI. PROGRAM DESCRIPTION

A. PROJECT PARTICIPANTS

(Complete for LEA Transfer and Discretionary Projects only)

AGE	CD*/MR	HI	SP	VI	ED	OI	OHI	LD	DB	MH	AUTISM	TBI**	TOTAL
Birth-2													
3-5													
6-11													
12-17													
18-21													
TOTAL													

* Cognitive Disability

** Traumatic Brain Injury

B. WESSAS FUNCTION

(Check all functions that apply to this project.)

- ☐ 138 200 Vocational Education EEN
- ☐ 152 000 Early Childhood EEN
- ☐ 153 000 Emotionally Disturbed
- ☐ 155 200 Cognitive Disability (CD)–Mild/Borderline
- ☐ 155 300 Cognitive Disability (CD)–Moderate/Severe
- ☐ 156 100 Hearing Impaired
- ☐ 156 310 Occupational Therapy
- ☐ 156 320 Physical Therapy
- ☐ 156 410 Physical/Other Health Impaired
- ☐ 156 600 Speech/Language
- ☐ 156 700 Visual Disability
- ☐ 157 000 Learning Disability
- ☐ 158 100 Multicategorical
- ☐ 158 200 Service Needs Delivery System
- ☐ 212 000 Social Work
- ☐ 215 000 Psychological Services
- ☐ 219 000 Other Pupil Services
- ☐ 221 300 CSPD
- ☐ 223 300 Supervision and Coordination
- ☐ 22[illegible] 000 Other Instructional Staff Support
- ☐ 252 000 Fiscal
- ☐ 255 000 Facilities Acquisition/Remodeling
- ☐ 256 000 Pupil Transportation
- ☐ Other. *Specify* _____

C. NARRATIVE

Insert pages to address the following required content:

1. Discretionary projects:
   a) one or more of the priority areas is addressed;
   b) a need is identified;
   c) project goals, objectives and intended results are listed (include information regarding personnel, purchased services and capital objects used to meet goals and objectives);
   d) relevant research or literature is discussed;

2. Entitlement projects: *Including PL 89-313 Projects*
   a) a need is identified;
   b) project goals, objectives and intended results are listed (include information regarding personnel, purchased services and capital objects used to meet goals and objectives);

VII. COMPREHENSIVE SYSTEM OF PERSONNEL DEVELOPMENT

Complete for IDEA flow-through funds only.

34 CFR 300.224 requires that each application include procedures for the implementation and use of the comprehensive system of personnel development. Describe how you will meet this requirement and list inservice activities planned. Refer to the project application guidelines for additional information. (See also 34 CFR 300.382(f) 1-7.)

NEEDS ASSESSMENT

1. Describe the process used in determining the inservice needs of personnel engaged in the education of children with disabilities.

NEEDS ASSESSMENT RESULTS/PARTICIPATION

2. Describe/identify the areas in which training is needed (e.g., IEPs, LRE, surrogacy issues, etc.)

3. Specify the groups requiring training (e.g., parents, special education teachers, etc.)

VII. COMPREHENSIVE SYSTEM OF PERSONNEL DEVELOPMENT (continued)

PERSONNEL DEVELOPMENT ACTION PLAN

4. Describe the **content** and **nature** of training for each area included under question 2.

DISSEMINATION AND ADOPTION

5. Describe how training will be provided in terms of:
   a) geographical scope, i.e., regional or local and
   b) staff training source, i.e., college or university staff, LEA or SEA personnel.

6. Specify the time frame for providing the training.

EVALUATION (monitoring of the plan)

7. Specify how the training will be evaluated to determine if objectives have been met.

Funding Sources	IDEA Funds	State/Local Funds	Other Funds
	$	$ 70	$

VIII. PRIVATE SCHOOL PARTICIPATION (Birth through 21 years.)
34 CFR 76.656

Complete for IDEA flow through and preschool entitlement projects

A. Describe how you will meet the Federal requirements for participation of students enrolled in private schools.

B. How many students enrolled in private schools have been identified as eligible to benefit under the program? _____

C. How many students enrolled in private schools will receive benefits under the program? _____

D. How did you select these students?

E. Describe the manner and extent to which you consulted with private school representatives in the development of this project application per 34 CFR 76.652.

F. Describe the places and times that the students will receive benefits under the program.

G. Describe the differences, if any, between the program benefits the applicant will provide to public and private school students, and the reasons for the differences.

IX. BUDGET DETAIL

Date _____
(Include new date each time revisions are submitted.)

Fiscal Agency _____

Discretionary Project #: *For revisions only* _____

A. Personnel Summary (100's-200's)

All special education instruction and/or leadership personnel must be listed and approved on a plan of service which coincides with each WESSAS function.
List all employees to be paid from this project. Do not include contracted personnel employed by other agencies in this section.

1 WESSAS **Function Code** (Indicate for each position listed)	2 Name and Social Security Number*	3 DPI Cert. Code	4 Position Held	5 Project FTE	6 $'s Project Salary	6 $'s Project Fringe	*Complete for Discretionary Programs Only* 7 $'s State/Local	8 $'s Other	9 Salary & Fringe Total Cols. 6 + 7 + 8
									73
	72		Total Salary & Fringe**						

* SSN required for certifiable positions only

** **All project totals must equal salary and fringe totals on budget summary page.**

IX. BUDGET DETAIL (continued)

Date _____
(Include new date each time revisions are submitted)

Fiscal Agency _____

Discretionary Project # *For revisions only* _____

B. Purchased Services Summary (380s-300s)

Include all Intergovernmental Payments (380s) **and** other purchased services (300s)

1. WESSAS **Function Code**	2. Agency Name	3. Individual's Name	4. DPI Cert. Code *If Applicable*	5. Type of Service Purchased	6. Cost

IX. BUDGET DETAIL (continued)

Date _____
(Include new date each time revisions are submitted.)

Fiscal Agency _____

Discretionary Project #: *For revisions only* _____

C. Capital Objects (500's)

Revise this page and resubmit it when additional capital objects are identified

1. WESSAS Code **Function** (Indicate for each item listed on right)	2. Quantity	3. Item Name *Include all items budgeted under Capital Objects classification, including rentals*	4. Costs
			76
75		*Total Cost (Must agree with capital objects total on Budget Summary)	

X. BUDGET SUMMARY

Fiscal Agency Name	IDEA Flow-Through and Preschool Entitlement Only			Project No. for Discretionary Only		
				FY	LEA Code	
Date *(Include new date each time revisions are submitted)*	Entitlement	Carryover (Est.)	Total	95		

WESSAS function Code	Function Name	Salaries 100's	Fringe Benefits 200's $	Intergovernmental and Purchased Services 300's – 380's $	Noncapital Objects 400's $	Capital Objects 500's $	Total $
		WESSAS OBJECTS					
138 200	Vocational Education EEN						
152 000	Early Childhood EEN						
153 000	Emotionally Disturbed						
155 200	CD-Mild/Border						
155 300	CD-Moderate/Severe						
156 100	Hearing Impaired						
156 310	Occupational Therapy						
156 320	Physical Therapy						
156 410	Physical/Other Health Impaired						
156 600	Speech/Language						
156 700	Visual Disability						
157 000	Learning Disability						
158 100	Multicategorical						
158 200	Service Needs Delivery System						
212 000	Social Work						
215 000	Psychological Services						
219 000	Other Pupil Services						
221 300	CSPD						
223 300	Supervision and Coordination						
229 000	Other Instructional Staff Support						
252 000	Fiscal						
255 000	Facilities Acquisition/ Remodeling						
256 000	Pupil Transportation						
	TOTAL						
				77		Indirect Cost	
						TOTAL BUDGET	

Wisconsin Department of Public Instruction
END-OF-YEAR REPORT
EDUCATION FUNDING FOR CHILDREN WITH DISABILITIES
PI-2111A (♥ Rev. 2-93)

INSTRUCTIONS: Complete 30 days after project ends and submit to

WISCONSIN DEPARTMENT OF PUBLIC INSTRUCTION
BUREAU FOR EXCEPTIONAL CHILDREN
P.O. BOX 7841
MADISON, WI 53707-7841

GRANT EVALUATION
END-OF-YEAR REPORT

Check grant type
- ❑ IDEA Flow-Through
- ❑ IDEA Discretionary
- ❑ IDEA Preschool Entitlement
- ❑ IDEA Preschool Discretionary
- ❑ PL 89-313

Our administering/Fiscal Agency submits this end-of-year report and attests that the information is correct to the best of our knowledge.

Name of Administering/Fiscal Agency

Project Number _____

Signature of Project Director ➤	Date Signed
Signature of Chief Administering/Fiscal Agency ➤	Date Signed

Date Report Submitted

I. NARRATIVE

Respond to each of the following items. If expected outcomes did not materialize explain where the outcomes where different from project goals.

1 **Project Goals Accomplished:**

	MET		Check		NOT MET
Goal Number 1 _____	⑤	④	③	②	①
Goal Number 2 _____	⑤	④	③	②	①
Goal Number 3 _____	⑤	④	③	②	①

2 **Products Developed:** *List any products developed with project funds. If applying for the second or third year of* ***discretionary*** *funding, this evaluation form and samples of the projects must be submitted with the new application.*

(Attach additional sheets if necessary)